

Federal Register

BOOK 1 OF 2 BOOKS

TUESDAY, DECEMBER 2, 1975



highlights

PRIVACY ACT OF 1974

On Thursday, December 4, 1975, the Office of Management and Budget will publish Supplementary Guidance on Implementing the Privacy Act. This document will address comments and questions of general interest raised since the release of OMB's Privacy Act Guidelines of July 1, 1975.

Extra copies of this document may be obtained from:

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New Executive Office Building
Washington, D.C. 20503
Telephone: 202/395-5163

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NOTE: No acts approved by the President were received by the Office of the Federal Register for inclusion in today's LIST OF PUBLIC LAWS.

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The Code of Federal Regulations is sold by the Superintendent of Documents. Prices of new books are listed in the first FEDERAL REGISTER issue of each month.

Title 5—Administrative Personnel

CHAPTER I—CIVIL SERVICE COMMISSION

PART 890—FEDERAL EMPLOYEES HEALTH BENEFITS PROGRAM

Delegation of Authority for Resolving Certain Contract Disputes; Correction

In the FEDERAL REGISTER of October 28, 1975, FR Doc. 75-28843, appearing on page 50023, § 890.105 was added. It was incorrectly numbered and should be § 890.106.

UNITED STATES CIVIL SERVICE COMMISSION,

[SEAL] JAMES C. SPRY,
Executive Assistant
to the Commissioners.

[FR Doc. 75-32385 Filed 12-1-75; 8:45 am]

Title 7—Agriculture

SUBTITLE A—OFFICE OF THE SECRETARY OF AGRICULTURE

[Amdt. 2]

PART 16—LIMITATION ON IMPORTS OF MEAT

Restriction on the Importation of Meat From Costa Rica

Part 16 is amended by adding a new section prohibiting the importation of meat from Costa Rica during the remainder of calendar year 1975. This regulation is issued with the concurrence of the Secretary of State and the Special Representative for Trade Negotiations to carry out a bilateral agreement negotiated with the Government of Costa Rica pursuant to Section 204 of the Agricultural Act of 1956, as amended (7 U.S.C. 1854). Since the action herewith has been determined to involve foreign affairs functions of the United States, this amendment falls within the foreign affairs exception to the notice and effective date provision of 5 U.S.C. 553 and shall become effective as set forth below.

The subpart, Section 204 Import Regulations of Part 16, Subtitle A of Title 7 (40 FR 31227), is amended as follows:

Section 16.4 is amended by adding a new paragraph (c) to read as follows:

§ 16.4 Quantitative restrictions.

(c) Imports from Costa Rica. No further imports of meat which is the product of Costa Rica may be entered, or withdrawn from warehouse, for consumption in the United States during the calendar year 1975, because entries for consumption have already exceeded 54.2 million pounds.

Effective date: The regulation contained in this amendment shall become effective December 2, 1975, but meat released under the provisions of section

448(b) of the Tariff Act of 1930 (19 U.S.C. 1448(b)) prior to such date shall not be denied entry.

(Sec. 204, Pub. L. 540, 84th Cong., 70 Stat. 200, as amended (7 U.S.C. 1854); E.O. 11539, 35 F.R. 10733)

Dated: November 28, 1975.

RICHARD E. BELL,
Acting Secretary of Agriculture.

[FR Doc. 75-32534 Filed 12-1-75; 8:54 am]

CHAPTER IX—AGRICULTURAL MARKETING SERVICE (MARKETING AGREEMENTS AND ORDERS; FRUITS, VEGETABLES, NUTS), DEPARTMENT OF AGRICULTURE

[Docket No. AO 205 A-4]

PART 982—HANDLING OF FILBERTS GROWN IN OREGON AND WASHINGTON

Order Amending Order; Correction

The order amending the order regulating handling of filberts grown in Oregon and Washington, FR Doc. 75-30988, contained an error. Item number 12, appearing at page 53228, referred to paragraph (b) (3) of § 982.80 instead of paragraph (b) (3) of § 982.86. Therefore, this reference is corrected to read as follows:

12. Paragraph (b) (3) of § 982.86 is revised to read:

§ 982.86 Effective time, termination or suspension.

Dated: November 25, 1975.

RICHARD L. FELTNER,
Assistant Secretary.

[FR Doc. 75-32437 Filed 12-1-75; 8:45 am]

Title 14—Aeronautics and Space

CHAPTER I—FEDERAL AVIATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

[Airspace Docket No. 75-WA-23]

PART 71—DESIGNATION OF FEDERAL AIRWAYS, AREA LOW ROUTES, CONTROLLED AIRSPACE, AND REPORTING POINTS

Alteration of Continental Control Area

The purpose of this amendment to Part 71 of the Federal Aviation Regulations is to alter the list of joint use restricted areas included in the continental control area. A recent review has shown that additions and deletions involving fifteen restricted areas are needed to update the list.

Joint use restricted areas are included in the continental control area so that any portion above 14,500 feet MSL will be defined as controlled airspace if it is returned to public use. Under the joint

use concept, temporary return to the public is effected on occasions when the designated using agency determines that the area is not presently required for its intended purpose.

Since this amendment is minor in nature and is one in which members of the public are not particularly interested, notice and public procedure thereon are unnecessary. However, since it is necessary to identify all restricted areas included in the continental control area, good cause exists for making this amendment effective immediately.

In consideration of the foregoing, Part 71 of the Federal Aviation Regulations is amended, effective on December 2, 1975 as hereinafter set forth.

In § 71.151 (40 FR 343):

a. The following restricted areas are deleted:
R-2502 Port Irwin, Calif.
R-2532 Blythe, Calif.
R-2902B Cape Kennedy, Fla.
R-4001 Aberdeen, Md.
R-6312 Cotulla, Texas
R-6409 Green River, Utah
R-6714 Yakima, Wash.

b. The following restricted areas are added:
R-2502E Port Irwin, Calif.
R-2502N Port Irwin, Calif.
R-4001A Aberdeen, Md.
R-4001B Aberdeen, Md.
R-5313 Long Shoal Point, N.C.
R-5601D Fort Sill, Okla.
R-6714A Yakima, Wash.
R-6714B Yakima, Wash.

(Sec. 307(a) of the Federal Aviation Act of 1958 (49 U.S.C. 1348(a)) and Sec. 6(c) of the Department of Transportation Act (49 U.S.C. 1655(c)).)

Issued in Washington, D.C., on November 25, 1975.

WILLIAM E. BROADWATER,
Chief, Airspace and Air
Traffic Rules Division.

[FR Doc. 75-32335 Filed 12-1-75; 8:45 am]

[Airspace Docket No. 75-RM-26]

PART 71—DESIGNATION OF FEDERAL AIRWAYS, AREA LOW ROUTES, CONTROLLED AIRSPACE, AND REPORTING POINTS

Revocation and Realignment of Federal Airway Segments

On October 3, 1975, a Notice of Proposed Rule Making (NPRM) was published in the FEDERAL REGISTER (40 FR 45846) stating that the Federal Aviation Administration (FAA) was considering an amendment to Part 71 of the Federal Aviation Regulations that would revoke the east alternate segment of VOR Federal Airway No. 19 and the south alternate segment of VOR Federal Airway No. 108. This docket would also realign VOR Federal Airway No. 83 between Colorado Springs, Colo., and Pueblo, Colo.

Interested persons were afforded an opportunity to participate in the proposed rule making through the submission of comments. We received one response to the NPRM from Air Transport Association of America in which they proposed no objection to the proposal.

In consideration of the foregoing, Part 71 of the Federal Aviation Regulations is amended, effective 0901 g.m.t., January 29, 1976, as hereinafter set forth.

In § 71.123 (40 FR 307) is amended as follows:

1. In V-19 "Kiowa, Colo., including an east alternate;" is deleted and "Kiowa, Colo;" is substituted therefor.

2. In V-83 "Colorado Springs;" is deleted and "INT Pueblo 004" and Colorado Springs, Colo., 153° radials; Colorado Springs;" is substituted therefor.

3. In V-108 "Hugo, Colo., including a south alternate via INT Colorado Springs 153° and Hugo 249° radials;" is deleted and "Hugo, Colo.;" is substituted therefor.

(Sec. 307(a) of the Federal Aviation Act of 1958 (49 U.S.C. 1348(a)) and Sec. 6(c) of the Department of Transportation Act (49 U.S.C. 1655(c)).)

Issued in Washington, D.C., on November 24, 1975.

WILLIAM E. BROADWATER,
Chief, Airspace and Air
Traffic Rules Division.

[FR Doc.75-32336 Filed 12-1-75;8:45 am]

[Airspace Docket No. 75-WE-23]

PART 75—ESTABLISHMENT OF JET ROUTES AND AREA HIGH ROUTES

Alteration of Jet Route

On October 1, 1975, a Notice of Proposed Rule Making (NPRM) was published in the FEDERAL REGISTER (40 FR 45192) stating that the Federal Aviation Administration (FAA) was considering an amendment to Part 75 of the Federal Aviation Regulations that would realign a segment of Jet Route No. 92 between Beatty, Nev., and Boulder City, Nev., VORTACS.

Interested persons were afforded an opportunity to participate in the proposed rule making through the submission of comments. We received one response to the proposal from Air Transport Association (ATA) in which they proposed no objection to the proposal.

In consideration of the foregoing, Part 75 of the Federal Aviation Regulations is amended, effective 0901 G.M.T., January 29, 1976, as hereinafter set forth.

Section 75.100 (40 FR 705) is amended as follows:

In Jet Route No. 92 "INT Beatty 142° and Boulder City, Nev., 272° radials;" is deleted and "INT Beatty 131° and Boulder City, Nev., 284° radials;" is substituted therefor.

(Sec. 307(a) of the Federal Aviation Act of 1958 (49 U.S.C. 1348(a)) and Sec. 6(c) of the Department of Transportation Act (49 U.S.C. 1655(c)).)

WILLIAM E. BROADWATER,
Chief, Airspace and Air
Traffic Rules Division.

Issued in Washington, D.C., on November 24, 1975.

[FR Doc.75-32337 Filed 12-1-75;8:45 am]

[Airspace Docket No. 75-SW-30]

PART 75—ESTABLISHMENT OF JET ROUTES AND AREA HIGH ROUTES

Alteration of Jet Route

On July 3, 1975, a notice of proposed rule making (NPRM) was published in the FEDERAL REGISTER (40 FR 28097) stating that the Federal Aviation Administration (FAA) was considering an amendment to Part 75 of the Federal Aviation Regulations that would alter J-29 south of Corpus Christi, Tex.

Interested persons were afforded an opportunity to participate in the proposed rule making through the submission of comments. Two comments were received to the proposal, of which, one concurred. The Department of Navy objected on the basis that the alteration of J-29 as proposed would pass through the middle of the airspace used by Navy aircraft and would seriously derogate the operational capability of the Navy users of that airspace. However, civilian flights have been operating direct between Corpus Christi and Monterrey for some time, and it is not likely that designation of this direct route as a jet route will substantially increase the number of flights along the route. Surveys conducted during 1975 revealed that more civilian than Navy aircraft regularly use the airspace at and above FL 240 between Corpus Christi and Monterrey. These civilian aircraft have been and will continue to be vectored as necessary to avoid conflict with Navy training aircraft so as not to derogate the Navy training mission. A minimum en route altitude of FL 240 will be established along this jet route segment to facilitate the Navy training below FL 240.

In consideration of the foregoing, Part 75 of the Federal Aviation Regulation is amended, effective 0901 g.m.t., January 29, 1976, as hereinafter set forth.

Section 75.100 (40 FR 705) is amended as follows:

In Jet Route No. 29, all before "Palacios, Tex.;" is deleted and "From the INT of the United States/Mexican border and the Corpus Christi, Tex., 229° radial via Corpus Christi;" is substituted therefor.

(Sec. 307(a) of the Federal Aviation Act of 1958 (49 U.S.C. 1348(a)) and Sec. 6(c) of the Department of Transportation Act (49 U.S.C. 1655(c)).)

Issued in Washington, D.C., on November 25, 1975.

WILLIAM E. BROADWATER,
Chief, Airspace and Air
Traffic Rules Division.

[FR Doc.75-32338 Filed 12-1-75;8:45 am]

Title 17—Commodity and Securities Exchanges

CHAPTER II—SECURITIES AND EXCHANGE COMMISSION

[Release Nos. 33-5644, 34-11827, 35-19249, IC-9031, AS-183]

PART 210—FORM AND CONTENT OF FINANCIAL STATEMENTS, SECURITIES ACT OF 1933; SECURITIES EXCHANGE ACT OF 1934, PUBLIC UTILITY HOLDING COMPANY ACT OF 1935, AND INVESTMENT COMPANY ACT OF 1940

Insurance Companies Other Than Life and Title Insurance Companies; Requirements for Financial Statements

The Securities and Exchange Commission today adopted a general revision of Article 7 of Regulation S-X [17 CFR 210.7-01-210.7-06] which contains requirements as to form and content of financial statements for insurance companies other than life and title companies. The revision reflects changes in financial reporting by these companies since 1961 when Article 7 was last revised. In addition to revising Article 7, the schedule prescribed by Rule 12-29 [210.12-29] is revised and the schedules prescribed by Rules 12-17, 12-23, 12-24, 12-25, 12-26, 12-28 and 12-30 [§§210.12-17, 210.12-23, 210.12-24, 210.12-25, 210.12-26, 210.12-28 and 210.12-30] are revoked. The revision was proposed on July 11, 1974,¹ and letters of comment have been received and have been given consideration in determining the form of the revision herein adopted.

The most significant change adopted is a requirement that the statements be prepared in accordance with generally accepted accounting principles (GAAP) (7-02-1). This replaces the existing requirement of Article 7 that the financials follow statutory accounting requirements and that they be accompanied by supplemental statements reconciling net income and stockholder's equity on the GAAP and statutory bases. In recent years we have observed that a majority of the financial statements of fire and casualty insurance companies included in filings and annual reports to stockholders were prepared on the GAAP basis as against the required statutory statements with supplemental reconciliations. The adoption of the requirements for GAAP statements reflects this development in reporting practices.

Statutory accounting requirements may be followed by those companies domiciled in states whose statutes prohibit publication of an insurer's primary financial statements on another basis; however, in such situations the statutory statements shall be accompanied by supplemental GAAP statements (7-02-2). Whether the basic statements are prepared on the GAAP or statutory basis,

¹ Notice of the proposed amendments was made in Securities Act Release No. 5513, Securities Exchange Act Release No. 10912, Public Utility Holding Company Act Release No. 18490 and Investment Company Act Release No. 8423 (S7-528) dated July 11, 1974 (39 F.R. 28647).

they must be accompanied by supplemental reconciliations of material differences between GAAP and statutory accounting (7-02-3).

Inasmuch as Regulation S-X has for many years classified title insurance companies with commercial and industrial companies with an implicit requirement that their financial statements be prepared in accordance with GAAP, it appears to be inappropriate at this time to make them subject to the requirements of Article 7. The provision that these companies shall comply with Article 5 [17 CFR 210.5-01-210.5-04] will be retained (7-01).

The revised article permits mutual insurance companies and wholly owned stock subsidiaries of mutual insurance companies to prepare financial statements in accordance with statutory accounting requirements (7-02-4). However, these companies are encouraged to prepare their filings in accordance with GAAP if they desire and to include them in filings.

Consistent with the requirements for life insurance companies in Article 7A [17 CFR 210.7A-01-210.7A-06], investments of fire and casualty companies may be stated on the balance sheet at cost or value provided that the alternates to the amounts at which bonds and stocks are stated are disclosed parenthetically (7-03-1). Realized profits or losses on investments are to be included as a component of net income (7-04-13),² while appreciation or depreciation of investments carried on the balance sheet at value is reflected in a stockholders' equity account (7-03-02(3)). This presentation is not viewed as a final resolution of the accounting and reporting problems associated with investments but rather as a temporary solution which provides for similar treatment by life and fire and casualty insurance companies. Many of the insurance company groups and holding company groups filing with the Commission include both life and fire and casualty subsidiaries. In connection with the reporting of realized investment profits or losses on the income statement, the change in value of marketable equity securities during the period is to be disclosed parenthetically or on a line immediately following the income statement. (See Accounting Series Release No. 166 [40 FR 2678]). An additional requirement in a note calls for an analysis of realized and unrealized gains and losses on bonds and stocks (7-05-3). This analysis is required regardless of whether bonds and stock are stated at cost or value on the balance sheet.

Prior to its dissolution the Accounting Principles Board considered the problems related to accounting for marketable securities but was unable to reach conclusions as to appropriate treatment. While the matter is not presently on the agenda of the Financial Accounting Standards Board,³ it is one which will

² Under statutory accounting requirements for fire and casualty insurance companies such profits or losses are included in net income. GAAP as applied generally would include such profits or losses in net income.

have to be addressed in due course. At such time as new accounting principles are prescribed, the Commission will consider what changes are necessary in its requirements for insurance company and other financial statements. The revised requirements are substantially similar to those proposed in July 1974. Wherever appropriate, captions and instructions conform with corresponding ones in Articles 5 [17 CFR 210.5-01-210.5-04] which applies to commercial and industrial companies or in Article 7A. The order of the items of the financial statements is generally similar to the order of items in our life insurance company requirements. The following are a number of additional requirements which are specific in nature:

1. To the extent that they are pertinent, the general rules in Articles 1, 2, 3 and 4 of Regulations S-X [17 CFR 210.1-01-210.1-03, 210.2-01-210.2-05, 210.3-01-210.3-16 and 210.4-01-210.4-08] are applicable (7-02-1).
2. In preparing consolidated financial statements for an insurance holding company whose consolidated subsidiaries are primarily insurance companies other than life insurance companies consideration shall be given to utilization of the format of the financial statements notes and schedules in Article 7 (7-01).
3. A statement of accounting principles and practices reflected in the statements (7-05-1).
4. The name of any person in which the investment exceeds two percent of total investments (7-03-1(6)).
5. Information as to policy, nature and changes in deferred policy acquisition costs (7-03-8, 7-04-5, 7-05-1 and 12-29).
6. Elimination of details of sources of investment income from the income statement. Such information would be stated separately in a note (7-04-2).
7. Details of restrictions on stockholders' equity (7-05-2).
8. Information concerning the significance of reinsurance ceded (7-05-4).
9. Rule 12-29 [§ 210.12-29], a schedule which is concerned with premiums, losses and policy acquisition costs, has been extensively revised.
10. The summary of investments contained in Rule 12-27 [§ 210.12-27] is made applicable to insurance companies covered by Article 7.
11. The detailed schedules of investments which have been the subject of Rules 12-23, 12-24, 12-25 and 12-26 are eliminated.
12. The schedule requirement for a summary of realized gains or losses on sale or maturity of investments is eliminated (12-30).
13. In view of the application of the schedule required by Rule 12-04 [§ 210.12-04] concerning investments in and earnings of affiliates, the similar schedule required by Rule 12-17 is no longer necessary and is eliminated.

Commission action. The Commission hereby revises § 210.7-01-210.7-06 (Article 7), § 210.12-29, and revokes §§ 210.12-17, 210.12-23, 210.12-24, 210.12-25, 210.12-26, 210.12-28 and 210.12-30, all of Chapter II of 17 CFR, as shown in the attached text of the amended sections.

These amendments are adopted pursuant to authority conferred on the Securities and Exchange Commission by the Securities Act of 1933, particularly Sec-

³ The Board's exposure draft on marketable equity securities deals only with a limited part of this problem.

tions 6, 7, 8, 10 and 16(a) [15 U.S.C. 77f, 77g, 77h, 77i, 77j] thereof; the Securities Exchange Act of 1934, particularly Sections 12, 13, 15(d) and 23(a) [15 U.S.C. 78f, 78m, 78o(d), 78w] thereof; the Public Utility Holding Company Act of 1935, particularly Sections 5(b), 14 and 20(a) [15 U.S.C. 79e, 79n, 79t] thereof; and the Investment Company Act of 1940, particularly Sections 8, 30, 31(c) and 38(a) [15 U.S.C. 80a-8, 80a-29, 80a-30(c), 80a-37(a)] thereof.

These amendments shall be effective with respect to financial statements filed after December 25, 1975, although they may be applied in statements filed prior to that time.

By the Commission.

[SEAL] GEORGE A. FITZSIMMONS,
Secretary.

NOVEMBER 14, 1975.

1. Sections 210.7-01 through 210.7-06 are revised to read as follows, and §§ 210.12-17, 210.12-23 through 210.12-25, 210.12-28 and 210.12-30 are removed:

INSURANCE COMPANIES OTHER THAN LIFE
AND TITLE INSURANCE COMPANIES
Sec.

- 210.7-01 Application of §§ 210.7-01 to 210.7-06.
210.7-02 General requirement.
210.7-03 Balance sheets.
210.7-04 Income statements.
210.7-05 Special notes to financial statements.
210.7-06 What schedules are to be filed.

AUTHORITY: Secs. 6, 7, 8, 10, 12, 13, 15, 19, 23 (15 U.S.C. 77f, 77g, 77h, 77i, 77j, 78f, 78m, 78o(d), 78w, 79e, 79n, 79t, 80a-8, 80a-29, 80a-30(c), 80(a)).

INSURANCE COMPANIES OTHER THAN LIFE
AND TITLE INSURANCE COMPANIES (ARTICLE 7)

§ 210.7-01 Application of §§ 210.7-01-210.7-06.

This article shall be applicable to financial statements filed for insurance companies other than life and title insurance companies. (Title insurance companies shall comply with the requirement of §§ 210.5-01-210.5-04.)

(a) If consolidated financial statements are prepared for an insurance holding company whose consolidated subsidiaries are primarily insurance companies other than life and title insurance companies, consideration shall be given to utilization of the format of the financial statements, notes and schedules prescribed in this article.

§ 210.7-02 General requirement.

(a) Financial statements filed for a person to which this article is applicable shall be prepared in accordance with generally accepted accounting principles except as otherwise provided in this article. The general rules in §§ 210.1-01-210.1-02, 210.2-01-210.2-05, 210.3-01-210.3-16 and 210.4-01-210.4-08 shall be applicable except where they differ from those prescribed in the special rules comprising this article.

(b) A person subject to this article may follow the rules and instructions govern-

ing the definition and computation of items in Annual Statements to the regulatory authority of its state of domicile (statutory accounting requirements) only if the statutes of that state prohibit the presentation of financial statements other than in accordance with such requirements. Financial statements which follow statutory accounting requirements shall be accompanied by corresponding financial statements prepared in accordance with generally accepted accounting principles.

(c) All financial statements prepared for persons to which this article is applicable shall include reconciliations of material differences between (a) surplus as regards policyholders as reported on the corresponding Annual Statement and stockholders' equity as determined in accordance with generally accepted accounting principles and (b) net income or loss as reported on the corresponding Annual Statement and net income or loss as determined in accordance with generally accepted accounting principles. The reconciliations shall be in tabular form in a note or in supplemental statements and accompanied by appropriate explanations.

(d) Notwithstanding the foregoing requirements, financial statements filed for mutual insurance companies other than life and title insurance companies and wholly owned stock insurance company subsidiaries of mutual insurance companies may be prepared in accordance with statutory accounting requirements without furnishing corresponding financial statements prepared in accordance with generally accepted accounting principles or supplemental reconciling statements.

(e) Financial statements prepared in accordance with statutory accounting requirements may be reasonably condensed as appropriate, but the amounts to be reported for net income or loss and surplus as regards policyholders shall be the same as those required on the corresponding Annual Statement.

§ 210.7-03. Balance sheets.

(a) Balance sheets filed for insurance companies other than life and title insurance companies shall comply with the following provisions:

ASSETS AND OTHER DEBITS

1. Investments—other than investments in affiliates.

- (a) Bonds and notes.
- (b) Preferred stocks.
- (c) Common stocks.
- (d) Mortgage loans on real estate.
- (e) Real estate.
- (f) Other loans and investments.
- (g) Invested cash.
- (h) Total investments.

Notes: (1) State the basis of determining the amounts shown in the balance sheet.

(2) State parenthetically for bonds and notes and preferred and common stocks either aggregate cost or aggregate value at the balance sheet date, whichever is the alternate to the amounts at which shown in the balance sheet. Consideration shall be given to the discussion of "Valuation of Securities" in Accounting Series Release No. 118 [35 F.R. 19986].

(3) State parenthetically accumulated depreciation and amortization deducted from investment real estate.

(4) Include under subcaption (g) share accounts in savings and loan associations, savings accounts, time deposits, certificates of deposits and other cash accounts and cash equivalents earning interest. State in a note any amounts subject to withdrawal or usage restrictions (see §§ 210.7-03-2 and 210.5-02-1).

(5) State separately any class of investments included in subcaption (f) exceeding five percent of total assets; however, if an amount to be reported under subcaption (f) or (g) is less than five percent of total assets it may be included under subcaption (f).

(6) State in a note the name of any person in which the total amount invested in the person and its affiliates, included in the above subcaptions, exceed two percent of total investments. For the purpose of this disclosure consider as the amount invested in a person and its affiliates the aggregate of indebtedness and stocks issued by such person and its affiliates which is included in the several subcaptions above, and the amount of any real estate included in subcaption (e) which was purchased or acquired from such person and its affiliates. Indicate the amount included in each subcaption. An investment in bonds and notes of the United States Government or of a Federal Government agency or authority which exceeds two percent of total investments need not be reported.

(7) Investments in unconsolidated subsidiaries and 50 percent or less owned persons (including partnerships) which are held for investment purposes may be included under an appropriate subcaption above. The related equity in earnings shall be included under § 210.7-04-2 and the amount of dividends or other distributions stated separately. Investments in unconsolidated entities held for operating purposes may not be so reported.

(8) State in a note any amounts included under subcaptions (a), (b), (d), (e), (f) and (g) which have been non-income producing for the six months preceding the balance sheet date.

2. Cash and cash items.—State separately (a) cash on hand and unrestricted demand deposits; (b) legally restricted deposits held as compensating balances against short-term borrowing arrangements; (c) funds subject to repayment on call or immediately after the date of the balance sheet required to be filed; and (d) other funds, the amounts of which are known to be subject to withdrawal or usage restrictions, e.g., special purpose funds. The general terms and nature of such repayment provisions in (c) and withdrawal or usage restrictions in (b) or (d) shall be described in a note referred to herein (see § 210.5-02-1).

3. Investments in and indebtedness from affiliates and other persons. (a) Investments in and indebtedness from and to affiliates and other persons held for operating purposes rather than investment and accounted for by the equity method shall be reported under this caption and caption 15.

(b) Investments.—State separately amounts representing investments in affiliates and investments in other persons which are held for operating purposes and accounted for by the equity method, and state the basis of determining these amounts. State separately in the registrant's balance sheet the amounts which in the related consolidated balance sheet are (1) eliminated and (2) not eliminated. The related equity in earnings shall be included under § 210.7-04-10.

(c) Indebtedness.—Include under this caption amounts representing indebtedness from affiliates and indebtedness from other persons

in the investments in which are accounted for by the equity method and include under subcaption (b). State separately in the registrant's balance sheet the amounts which in the related consolidated balance sheet are (1) eliminated and (2) not eliminated.

4. Accrued investment income.

5. Premiums receivable and agent's balances.—State separately the balance of the allowance for doubtful accounts which was deducted.

6. Reinsurance recoverable on paid losses.

7. Property and equipment.—Include under this caption the cost of real estate, furniture, fixtures and equipment used in the conduct of the insurance business and not considered as an investment. State parenthetically the accumulated depreciation and amortization deducted. The amount of any encumbrances shall be shown separately as a liability.

8. Deferred policy acquisition costs.—See § 210.7-05-1(d).

9. Other assets.—State separately any other item not properly classed in one of the preceding asset captions which is in excess of five percent of total assets. Include legally restricted deposits held as compensating balances against long-term borrowing arrangements.

10. Total assets and, when appropriate, other debits.

LIABILITIES AND OTHER CREDITS

11. Losses and claims. (a) Reported and estimated losses and claims.

(b) Adjustment expenses.

12. Unearned premiums.

13. Other policyholder's funds.—Include dividends payable to policyholders, retrospective return premiums and any similar items. State separately any item which is in excess of five percent of total liabilities.

14. Notes payable.—State here or in a note the information required under § 210.5-02-29. Show separately any amount owed to affiliates.

15. Indebtedness to affiliates and other persons.—Include under this caption amounts representing indebtedness to affiliates and indebtedness to other persons the investments in which are accounted for by the equity method. State separately in the registrant's balance sheet the amounts which in the related consolidated balance sheet are (a) eliminated and (b) not eliminated.

16. Accrued income taxes.—State separately the amount of (a) income taxes payable and (b) deferred income taxes. State separately the amount of deferred income taxes applicable to unrealized appreciation of investments.

17. Other liabilities.—State separately any other items not properly classed in one of the preceding liability captions which is in excess of five percent of total liabilities. The amount and terms (including commitment fees and the conditions under which commitments may be withdrawn) of unused commitments for long-term financing arrangements not provided for under § 210.7-03-14 shall be disclosed in the notes to the financial statements if significant.

18. Commitments and contingent liabilities.—See §§ 210.3-16(1) and 210.7-05-4.

STOCKHOLDERS' EQUITY

19. Capital shares.—State for each class of shares the title of issue, the number of shares authorized, the number of shares issued or outstanding, as appropriate (see §§ 210.3-14 and 210.3-15), and the dollar amount thereof, and, if convertible, the basis of conversion [see also § 210.3-16(f)(3)]. Show also the dollar amount, if any, of capital shares subscribed but unissued, and show the deduction of subscriptions receivable therefrom. Show here, or in a note or statement referred

to herein, the changes in each class of capital shares for each period for which an income statement is required to be filed.

20. *Other stockholders' equity.* (a) Separate captions shall be shown for:

- (1) Paid-in additional capital.
- (2) Other additional capital.
- (3) Unrealized appreciation or depreciation of investments, less applicable deferred income taxes.

- (4) Retained earnings.
- (i) Appropriated
- (ii) Unappropriated

(b) If undistributed earnings of unconsolidated subsidiaries and 50 percent or less owned persons are included, state the amount in each category parenthetically or in a note referred to herein.

(c) Include in subcaption (a) (4) (i) above or in a note the purpose for which retained earnings have been appropriated.

(d) For a period of at least 10 years subsequent to the effective date of a quasi-reorganization, any description of retained earnings shall indicate the point in time from which the new retained earnings dates and for a period of at least three years shall indicate the total amount of the deficit eliminated.

(e) See § 210.7-05-2.

(f) A summary of each account under this caption setting forth the information prescribed in § 210.11-02 shall be given for each period for which an income statement is required to be filed.

21. *Total liabilities, other credits and stockholders' equity.*

§ 210.7-04 Income statements.

Income statements filed for insurance companies other than life and title insurance companies shall comply with the following provisions:

PREMIUMS AND OTHER REVENUE

1. *Premiums.* (a) *Premiums written.*—Include premiums from reinsurance assumed and deduct premiums on reinsurance ceded.

(b) *Increase or decrease in unearned premiums.*

(c) *Premiums earned.*

2. *Net investment income.* (a) State parenthetically expenses deducted from investment income.

(b) State separately in a note in tabular form (1) investment income from each category of investments listed in the subcaptions of § 210.7-03-1 which exceeds five percent of total investment income; (2) total investment income; (3) applicable expenses; and (4) net investment income.

3. *Other income.*—State separately any material amounts, indicating clearly the nature of the transactions out of which the items arose.

EXPENSES

4. *Losses, claims and adjustment expenses.*—State separately (a) losses and claims incurred and provided for and (b) related adjustment expense.

5. *Policy acquisition costs.* (a) Include under this caption deferred policy acquisition costs amortized to income during the period and other policy acquisition costs incurred and charged to income during the period.

(b) State in a note policy acquisition costs deferred during the period and the amount amortized to income and included in subcaption (a).

(c) State in a note any category of costs incurred during the period which is in excess of 15 percent of the total amount incurred indicating the nature of the amount, e.g., commissions and brokerage, salaries and other compensation, and direct mail selling expenses.

(d) See § 210.7-05-1.

6. *Other operating costs and expenses.*—Include general and administrative expenses not related to policy acquisition. State separately any material amounts.

7. *Dividends to policyholders, and other similar items.*

8. *Income or loss before income tax expense and appropriate items below.*

9. *Income tax expense.*—Include under this caption only taxes based on income. Taxes applicable to profits or losses on securities and extraordinary items shall not be included under this caption [see § 210.3-16 (c)].

10. *Equity in earnings of unconsolidated subsidiaries and 50 percent or less owned persons.*—The amount reported under this caption shall be stated net of any applicable tax provisions and shall exclude profits or losses on investments. State parenthetically or in a note referred to herein the amount of dividends received from such persons.

11. *Minority interest in income of consolidated subsidiaries.*

12. *Income or loss before realized profits or losses on investments and extraordinary items.*

13. *Realized profits or losses on investments other than investments in affiliates, less applicable tax.*—State separately (a) net realized investment profits or losses of the insurance company and (b) equity in net realized investment profits or losses of (1) unconsolidated subsidiaries and (2) 50 percent or less owned persons for which the equity in earnings was reported under caption 10, disclosing parenthetically or otherwise the tax applicable to such amounts. No profits or losses on the insurance company's own equity securities, or equity in profits or losses of its affiliates on their own equity securities, shall be included under this caption. State here, or in a note referred to herein, the method followed in determining the cost of investments sold by the insurance company, e.g., "average cost," "first-in, first-out," or "identified certificate."

State parenthetically following this caption or on a line immediately following the income statement the change in value of marketing equity securities during the period (see Accounting Series Release No. 186).

Consideration should be given to reporting transactions of the insurance company under caption 15, when appropriate (see § 210.7-06-3).

14. *Income or loss before extraordinary items.*

15. *Extraordinary items, less applicable tax.*—State separately (a) extraordinary items of the person and (b) equity in extraordinary items of (1) unconsolidated subsidiaries and (2) 50 percent or less owned persons for which the equity in earnings was reported under caption 10, disclosing parenthetically or otherwise the tax applicable to such amounts.

16. *Net income or loss.*—See § 210.7-03-20 (f).

17. *Earnings per share data.*—Refer to the pertinent requirements in the appropriate filing form. No per share figure shall be based on net income or loss determined in accordance with statutory accounting requirements. (See § 210.7-02-2.)

§ 210.7-05 Special notes to financial statements.

1. *Accounting principles and practices.*—Information given in a note as to accounting principles and practices reflected in the financial statements concerning the following matters. (See also § 210.3-08.)

(a) Consolidation of subsidiaries.

(b) Valuation of investments and recognition and reporting of unrealized appreciation or depreciation and profits or losses on investments.

(c) The basis of determining unearned premiums and liabilities for losses and claims and other reserves.

(d) The nature of and method of accounting for deferred policy acquisition costs.

2. *Restrictions on stockholders' equity.*—(a) The nature of any restriction on stockholders' equity created by statutory accounting requirements shall be explained in a note. See also § 210.3-16(h).

(b) Explain in a note any deficiency or imminent deficiency in the statutory requirements for capital and surplus and the possible effect of such deficiency on the financial statements.

3. *Analysis of gain or loss on bonds and notes and stocks.*—For each period for which an income statement is filed include an analysis of investment gains or losses comparing realized and unrealized gains or losses on investments in bonds and notes and stocks. State separately for each period for (a) bonds and notes [see § 210.7-03-1(a)] and (b) stocks [see § 210.7-03-1(b)] the following information: (1) the portion of the realized profits or losses on investments, less applicable tax, included in § 210.7-04-13 which relates to each of the above categories; (2) the change during the period in the difference between value and cost for each of the foregoing categories adjusted for applicable tax effect; and (3) the net investment gain or loss. The change in the difference between value and cost shall be given for both categories of investment assets even though they may be shown on the related balance sheet on a basis other than value.

4. *Reinsurance.*—Information shall be given concerning: (a) Amounts deducted from liability, income and expense accounts in connection with reinsurance ceded.

(b) The nature of any contingent liability in connection with insurance ceded.

(c) The nature and effect of any material nonrecurring bulk portfolio or similar reinsurance transactions.

§ 210.7-06 What schedules are to be filed.

(a) Except as expressly provided otherwise in the applicable form—

(1) The schedules specified below in this rule as Schedules I, VIII, IX, X, and XI shall be filed as of the dates of the most recent audited balance sheet and any subsequent unaudited balance sheet being filed for each person or group, provided that any such schedule (other than Schedules I and VIII) may be omitted if both of the following conditions exist:

(i) The financial statements are being filed as part of an annual or other periodic report; and

(ii) The information that would be shown in the respective columns of such schedule would reflect no changes in any issues of securities of the registrant or any significant subsidiary in excess of five percent of the outstanding securities of such issue as shown in the most recently filed annual report containing the schedule.

(2) Schedule VIII, Capital Shares, may also be omitted if the above two conditions exist and any information required by column G of the schedule is shown in the related balance sheet or in a note thereto.

(3) All other schedules specified below in this rule as Schedules II, III, IV, V, VI and VII shall be filed for each period for which an income statement

is required to be filed for each person or group.

(b) When information is required in schedules for both the registrant and its consolidated subsidiaries it may be presented in the form of a single schedule, provided that items pertaining to the registrant are separately shown and that such single schedule affords a properly summarized presentation of the facts. If the information required by any schedule (including the notes thereto) may be shown in the related financial statement or in a note thereto without making such statement unclear or confusing, that procedure may be followed and the schedule omitted.

(c) The schedules shall support the financial statements prepared in accordance with generally accepted accounting principles except for statements prepared in accordance with § 210.7-02-4. Reference to the schedules shall be made in the appropriate captions of the financial statements. Where, pursuant to the applicable instructions, the supporting schedules do not accompany the financial statements, references to such schedules shall not be made.

(d) The schedules shall be examined by the independent accountant if the related financial statements are so examined.

Schedule I.—Summary of Investments—Other than Investments in Affiliates.—The schedule prescribed by § 210.12-27 shall be filed in support of caption 1 of each balance sheet.

Schedule II.—Investments in, Equity in Earnings of, and Dividends Received from Affiliates and Other Persons.—The schedule prescribed by § 210.12-04 shall be filed, for each period for which an income statement is required to be filed, in support of caption 3(a) of each balance sheet. This schedule may be omitted if neither the sum of captions 3(a) and 3(b) in the related balance sheet nor the amount of caption 15 in such balance sheet exceeds five percent of total assets as shown by the related balance sheet at either the beginning or end of the period.

Schedule III.—Indebtedness of Affiliates and Other Persons.—The schedule prescribed by § 210.12-05 shall be filed, for each period for which an income statement is required to be filed, in sup-

port of caption 3(b) of each balance sheet; however, the required information may be presented separately on Schedule II or Schedule VI. This schedule may be omitted if neither the sum of captions 3(a) and 3(b) in the related balance sheet nor the amount of caption 15 in such balance sheet exceeds five percent of total assets as shown by the related balance sheet at either the beginning or end of the period.

Schedule IV.—Amounts Receivable from Underwriters, Promoters, Directors, Officers, Employees, and Principal Holders (other than Affiliates) of Equity Securities of the Person and its Affiliates.—The schedule prescribed by § 210.12-03 shall be filed, for each period for which an income statement is required to be filed, with respect to each person among the underwriters, promoters, directors, officers, employees, and principal holders (other than affiliates) of equity securities of the person and its affiliates from whom an aggregate indebtedness of more than \$20,000 or one percent of total assets, whichever is less, is owned or, at any time during the period for which related income statements are required to be filed, was owed. For purposes of this schedule exclude in the determination of the amount of indebtedness all amounts receivable from such persons for purchases subject to usual trade terms, for ordinary travel and expense advances, and for other such items arising in the ordinary course of business.

Schedule V.—Valuation and Qualifying Accounts and Reserves.—The schedule prescribed by § 210.12-13 shall be filed, for each period for which an income statement is required to be filed, in support of asset valuation and qualifying accounts and reserves included in each balance sheet (see § 210.3-02).

Schedule VI.—Indebtedness to Affiliates and Other Persons.—The schedule prescribed by § 210.12-11 shall be filed, for each period for which an income statement is required to be filed, in support of caption 15 of each balance sheet; however, the required information may be presented separately on Schedule II or Schedule III. This schedule may be omitted if neither the sum of captions 3(a) and 3(b) in the related balance sheet nor the amount of caption 15 in

such balance sheet exceeds five percent of total assets as shown by the related balance sheet at either the beginning or end of the period.

Schedule VII.—Premiums, Losses and Claims and Policy Acquisition Costs.—The schedule prescribed by § 210.12-29 shall be filed, for each period for which an income statement is required to be filed, in support of captions 8 and 12 of each balance sheet and captions 1(a), 1(c), 4(a), 4(b) and 5 of each income statement.

Schedule VIII.—Capital Shares.—The schedule prescribed by § 210.12-14 shall be filed in support of caption 19 of a balance sheet.

Schedule IX.—Warrants or Rights.—The schedule prescribed by § 210.12-15 shall be filed with respect to warrants or rights granted by the person for which the statement is being filed to subscribe to or purchase securities to be issued by such person.

Schedule X.—Guarantees of Securities of Other Issuers.—The schedule prescribed by § 210.12-12 shall be filed with respect to any guarantees of securities of other issuers by the person for which the statement is being filed.

Schedule XI.—Other Securities.—If there are any classes of securities not included in Schedules VIII, IX and X, set forth in this schedule information concerning such securities corresponding to that required for the securities included in such schedules. Information need not be set forth, however, as to notes, drafts, bills of exchange, or bankers' acceptances having a maturity at the time of issuance of not exceeding one year.

FORM AND CONTENT OF SCHEDULES (ARTICLE 12)

§ 210.12-17	[Reserved]
§ 210.12-23	[Reserved]
§ 210.12-24	[Reserved]
§ 210.12-25	[Reserved]
§ 210.12-26	[Reserved]
§ 210.12-28	[Reserved]
§ 210.12-30	[Reserved]

Sec. 210.12-29. Premiums, losses and claims, and policy acquisition costs¹

[For insurance companies other than life and title insurance companies]

Part 1—Premiums					Part 2—Losses		Part 3—Policy acquisition costs ²				
(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	(J)	(K)	(L)
Line of business ³ ...	Unearned premiums beginning of period. ⁴	Premiums written. ⁴	Unearned premiums, end of period. ⁴	Premiums earned during period. ⁴	Losses and claims incurred during period. ⁴	Adjustment expense incurred during period. ⁴	Deferred at beginning of period. ⁴	Additions during period.	Deferred at end of period. ⁴	Amortization charged to costs and expenses. ^{4,5}	Costs incurred and charged to cost and expenses during period. ⁶

¹ All money columns shall be totaled.

² Pt. 3 may be omitted if the total deferred policy acquisition costs at both the beginning and end of the period did not exceed 5 pct of total assets as shown by the related balance sheet.

³ The required information shall be given for each line of business detailed in the underwriting and investment exhibit, pts. 2 and 3, of the annual statement filed with the regulatory authority of the person's statutory domicile or for other classifications of lines of business which may be representative of the person's business. Information as to any line of business for which the premiums written (col. C) do not exceed 5

pct may be omitted; however, information as to all such omitted lines of business shall be combined and listed as "All other."

⁴ This column shall be totaled to correspond with the related balance sheet caption.

⁵ This column shall be totaled to correspond to the related income statement caption.

⁶ Col. K shall be the difference between the sum of cols. H and I, less col. J.

⁷ The sum of cols. K and L shall correspond with the amount at caption 5 of the related income statement.

[FR Doc. 75-32340 Filed 11-26-75; 11:01 am]

[Release Nos. 33-5642, 34-11817, AS-181]

COMPANIES IN THE DEVELOPMENT STAGE

Amendments of Financial Report Requirements

The Commission hereby amends Article 5A [17 CFR 210.5A-01 to 210.5A-07] and certain rules of Regulation S-X [17 CFR Part 210] which specifies the requirements for the form and content of the financial statements and schedules to be included in registration statements and periodic reports filed with the Commission by certain commercial, industrial and mining companies in the promotional, exploratory or other stages of development; amends instructions in various registration and reporting forms regarding the applicability of Article 5A requirements to the financial statements to be included in those forms filed by the development stage companies; and amends other references to Article 5A in forms and rules.

Article 5A, prior to these amendments, contained specialized requirements for the financial statements of development stage companies meeting specified standards, and they differed in several significant respects from the requirements for financial statements in Regulations S-X which are applicable to companies which are not in a development stage, particularly for balance sheets and income statements (Article 5 [17 CFR 210.5-01 to 210.5-04], statements of other stockholders' equity (Article 11 [17 CFR 210.11-01 and 210.11-02], and statements of source and application of funds (Article 11A [17 CFR 210.11A-01 and 210.11A-02]). When these specialized requirements for the form and content of the financial statements of certain companies in the development stage were adopted by the Commission, there were no authoritative statements of the accounting profession regarding the appropriate accounting and financial reporting directly applicable to such companies.

In June 1975 the Financial Accounting Standards Board issued Statement of Financial Accounting Standards No. 7, "Accounting and Reporting by Development Stage Enterprises," which specifies in summary that financial statements issued by a development stage enterprise shall conform to generally accepted accounting principles applicable to established operating enterprises, and that certain additional information shall be disclosed in the financial statements. This FASB Statement relates to all of the types of companies to which Article 5A and the related rules in Regulation S-X were applicable, as well as to other development stage companies which did not meet the standards for utilization of the Article 5A requirements.

The Commission stated, in Accounting Series Release No. 150 [39 FR 1260], that the pronouncements of the FASB will be considered to constitute substantial authoritative support for accounting and reporting procedures and practices used in preparing financial statements filed with the Commission. Therefore, the Commission considered that it

should revise its requirements for the presentation of financial statements by development stage companies in filings with the Commission to conform them to the requirements in the FASB Statement. Proposed amendments were issued for public comment on July 31, 1975 in Securities Act Release No. 5601 [40 FR 33690]. Comments received indicated general agreement with the proposals. Minor technical changes were suggested which have been effected in the amendments.

In the amendments, Article 5A in Regulations S-X is revised to eliminate the specialized financial statement requirements for all companies to which Article 5A was applicable and to prescribe additional information, as specified in FASB Statement No. 7, to be included in financial statements in registration statements and periodic reports filed by all companies in the development stage. All other rules and instructions in Regulation S-X relating to the prior Article 5A requirements are also eliminated. The instructions as to financial statements applicable to the development stage companies in Forms S-2, S-3, 1-A, 10 and 10-K [17 CFR 239.12, 239.13, 239.90, 249.210 and 249.310] are amended to conform the requirements for the form and content of financial statements applicable to those prescribed for established operating companies in Articles 5, 11 and 11A of Regulation S-X to require the additional financial information specified in revised Article 5A. General Instruction H(a) in Form 10-Q [17 CFR 249.308a] and Rules 13a-13 and 15d-13 [17 CFR 240.13a-13 and 240.15d-13] under the Exchange Act which contained references to Article 5A are revised.

The exemption in Form 10-K from the requirements for audited financial statements for development stage companies under certain conditions, which was proposed to be rescinded, has been retained. However, that exemption and the exemption from requirements to file quarterly reports on Form 10-Q provided for certain mining companies in the development stage in Rules 13a-13 and 15d-13 will be restudied to determine whether such exemptions continue to be appropriate.

Form S-1 is the general form used for registration of securities under the Securities Act; Form S-2 is used by commercial and industrial companies in the development stage and Form S-3 is used by mining companies in the development stage for registrants of equity securities for sale for cash under the Securities Act; Form 1-A is used for filing the notification and offering circular for securities pursuant to Regulation A under the Securities Act; Form 10 is the general form used for registration of securities under the Exchange Act; Form 10-K is used for annual reports and Form 10-Q is used for quarterly reports pursuant to the Exchange Act. *Commission Action:* The Commission hereby amends Parts 210, 239, 240 and 249 all of Chapter II of 17 CFR as shown in the attachment hereto.

The amendments are adopted pursuant to authority in Sections 6, 7, 8, 10 and 19(a) [15 U.S.C. 77f, 77g, 77h, 77j and 77s] of the Securities Act of 1933; and Sections 12, 13, 15(d) and 23(a) [15 U.S.C. 78l, 78m, 78o(d) and 78w] of the Securities Exchange Act of 1934.

The amendments are effective for fiscal periods beginning on or after December 26, 1975. When financial statements, or financial summaries or other data derived therefrom, for periods prior to the effective date are included with such financial statements or data for periods after the effective date in filings with the Commission, they shall be restated, where necessary, to conform to the amended requirements for financial statements of development stage companies.

By the Commission.

[SEAL] GEORGE A. FITZSIMMONS,
Secretary.

NOVEMBER 10, 1975.

Various rules, instructions and articles of Part 210 (Regulation S-X) are revised or revoked, as follows:

PART 210—FORM AND CONTENT OF FINANCIAL STATEMENTS, SECURITIES ACT OF 1933, SECURITIES EXCHANGE ACT OF 1934, PUBLIC UTILITY HOLDING COMPANY ACT OF 1935, AND INVESTMENT COMPANY ACT OF 1940

1. In § 210.1-02 a new definition is included as paragraph (h) and the paragraphs lettered (h) through (x) are redesignated as (i) through (y), respectively.

§ 210.1-02 Definitions of terms used in Regulation S-X (17 CFR Part 210).

(h) *Development stage company.* A company shall be considered to be in the development stage if it is devoting substantially all of its efforts to establishing a new business and either of the following conditions exists: (1) Planned principal operations have not commenced. (2) Planned principal operations have commenced, but there has been no significant revenue therefrom.

§ 210.4-09 [Revoked]

2. Section 210.4-09 is revoked.

§ 210.5-01. Application of § 210.5-01 to 210.5-04.

3. In § 210.5-01, paragraph (a)(1) is removed and paragraphs (a)(2) through (9) are redesignated as paragraphs (a)(1) through (8) respectively; new paragraph (c) is added to read as follows:

§ 210.5-01 Application of §§ 210.5-01 to 210.5-04.

(c) *Companies in the development stage.* Section 210.5A-02 prescribes additional information to be included in financial statements filed by companies in the development stage.

4. The center heading preceding § 210.5A-01, §§ 210.5A-01 and 5A-02, are revised, and §§ 210.5A-03, 210.5A-04, 210.5A-05, 210.5A-06 and 210.5A-07 are revoked as follows.

COMPANIES IN THE DEVELOPMENT STAGE (ARTICLE 5A)

§ 210.5A-01 Application of §§ 210.5A-01 and 210.5A-02.

Sections 210.5A-01 and 210.5A-02 shall be applicable to the financial statements in registration statements and periodic reports filed by companies which meet the criteria for a development stage company specified in § 210.1-02.

§ 210.5A-02 Additional information required to be included in financial statements filed by companies in the development stage.

(a) Financial statements included in a registration statement or periodic report filed by a company in the development stage shall include additional information, as follows:

(1) In a balance sheet, include any cumulative net losses reported with a descriptive caption such as "deficit accumulated during the development stage" in the stockholders' equity section.

(2) In an income statement, show amounts of revenue and expenses for each period covered by the income statement and, in addition, cumulative amounts from the company's inception.

(3) In a statement of source and application of funds or changes in financial position, show the sources and uses of financial resources for each period for which an income statement is presented and, in addition, cumulative amounts from the company's inception.

(4) In a statement of stockholders' equity, show from the company's inception:

(i) For each issuance, the date and number of shares of stock, warrants, rights, or other equity securities issued for cash and for other consideration.

(ii) For each issuance, the dollar amounts (per share or other equity unit and in total) assigned to the consideration received for shares of stock, warrants, rights, or other equity securities. Dollar amounts shall be assigned to any noncash consideration received.

(iii) For each issuance involving non-cash consideration, the nature of the noncash consideration and the basis for assigning amounts.

(b) The financial statements shall be identified as those of a development stage company and shall include a description of the nature of the development stage activities in which the company is engaged.

(c) The financial statements for the first fiscal year in which a company is

¹ For a dormant company that is reactivated to undertake development stage activities, the disclosure of cumulative amounts required by this paragraph shall be from inception of the development stage.

² Separate issuances of equity securities within the same fiscal year for the same type of consideration and for the same amount per equity unit may be combined in the statement of stockholders' equity. Appropriate modification of the statement of stockholders' equity may be required for (a) a combined group of companies that, as a whole, is considered to be in the development stage and (b) an unincorporated development stage enterprise.

no longer considered to be in the development stage shall disclose that in prior years it had been in the development stage. If financial statements for prior years are presented for comparative purposes, the cumulative amounts and other additional disclosures required by paragraphs (a) and (b) of this section need not be shown.

§§ 210.5A-03 to 210.5A-07 [Revoked]

5. Section 210.12-01 is revised to read as follows:

§ 210.12-01 Application of §§ 210.12-01 to 210.12-43.

These sections prescribe the form and content of the schedules required by § 210.5-04, 210.6-10, 210.6-13, 210.6-24, 210.6-34, 210.7-06, 210.7A-06 and 210.9-04.

§ 210.12-06 [Amended]

6. In § 210.12-06, instruction 2(c) is removed.

§ 210.12-06A [Revoked]

7. Section 210.12-06A is revoked.

§ 210.12-07 [Amended]

8. In § 210.12-07, instruction 1(b) is removed.

PART 239—FORMS PRESCRIBED UNDER THE SECURITIES ACT OF 1933

§ 239.12 Form S-2, for shares of certain corporations in the development stage.

9. Item 13 of Form S-2 under § 239.12 is revised to read as follows:

Item 13. Financial statements.

(a) Include in the prospectus all financial statements called for by the Instruction as to Financial Statements. All schedules to balance sheets and income statements may be omitted from the prospectus, except those prepared in accordance with Rule 12-16 of Regulation S-X which are applicable to income statements included in the prospectus.

(b) Instructions as to financial statements. The balance sheet and statements of income and of source and application of funds required to be filed as a part of the registration statement are prescribed below. Regulation S-X governs the examination and the form and content of such financial statements and prescribes the statements of retained earnings and other stockholders' equity and the schedules to be filed. All financial statements required to be filed shall be audited. Attention is directed to Rule 411(b) regarding incorporation by reference of financial statements and to Section 10(a)(3) of the Act and Release No. 4936 regarding updating the financial statements in specified circumstances.

(1) *Balance sheet.* The registrant shall file a balance sheet as of a date within 90 days prior to the date of filing the registration statement.

(2) *Statements of income and source and application of funds.* The registrant shall file statements of income and source and application of funds for each of the last three fiscal years, or for the life of the registrant, if less, and for the interim period, if any, between the end of the most recent of such fiscal years and the date of the balance sheet specified in (b)(1) above.

(3) *Additional financial information.* Additional information shall be included, as prescribed in Rule 5A-02 of Regulation S-X for

companies in the development stage, in the financial statements required to be furnished under these instructions.

(4) *Reorganization of registrant.* (i) If, during the period for which its income statements are required, the registrant has emerged from a reorganization in which substantial changes occurred in its asset, liability, capital shares, other stockholders' equity or reserve accounts, a brief explanation of such changes shall be set forth in a note or supporting schedule to the balance sheet filed.

(ii) If the registrant is about to emerge from such a reorganization, there shall be filed, in addition to the balance sheet of the registrant otherwise required, a balance sheet giving effect to the plan of reorganization. These balance sheets shall be set forth in such form, preferably columnar, as will show in related manner the balance sheet of the registrant prior to the reorganization, the changes to be effected in the reorganization and the balance sheet of the registrant after giving effect to the plan of reorganization. By a footnote or otherwise a brief explanation of the changes shall be given.

(5) *Filing of other financial statements in certain cases.* The Commission may, upon the informal written request of the registrant and where consistent with the protection of investors, permit the omission of one or more of the financial statements herein required or the filing in substitution therefor of appropriate statements of comparable character. The Commission may also by informal written notice require the filing of other financial statements in addition to, or in substitution for, the statements herein required in any case where such statements are necessary or appropriate for an adequate presentation of the financial condition of any person whose financial statements are required or whose statements are otherwise necessary for the protection of investors.

§ 239.13 Form S-3, for shares of mining corporation in the development stage.

10. Item 12 of Form S-3 under § 239.13 is revised to read as follows:

Item 12. Financial statements.

(a) Include in the prospectus all financial statements called for by the Instructions as to Financial Statements. All schedules to balance sheets and income statements may be omitted from the prospectus, except those prepared in accordance with Rule 12-16 of Regulation S-X which are applicable to income statements included in the prospectus.

(b) Instructions as to financial statements. The balance sheet and statements of income and source and application of funds required to be filed as a part of the registration statement are prescribed below. Regulation S-X governs the examination and the form and content of such financial statements and prescribes the statements of retained earnings and other stockholders' equity and the schedules to be filed. All financial statements required to be filed shall be audited. Attention is directed to Rule 411(b) regarding incorporation by reference of financial statements and to Section 10(a)(3) of the Act and Release No. 4936 regarding updating the financial statements in specified circumstances.

(1) *Balance sheet.* The registrant shall file a balance sheet as of a date within 90 days prior to the date of filing the registration statement.

(2) *Statements of income and source and application of funds.* The registrant shall file statements of income and source and application of funds for each of the last three fiscal years, or for the life of the registrant,

if less, and for the interim period, if any, between the end of the most recent of such fiscal years and the date of the balance sheet specified in (b) (1) above.

(3) *Additional financial information.* Additional information shall be included, as prescribed in Rule 5A-02 of Regulation S-X for companies in the development stage, in the financial statements required to be furnished under these instructions.

(4) *Reorganization of registrant.* (i) If, during the period for which its income statements are required, the registrant has emerged from a reorganization in which substantial changes occurred in its asset, liability, capital shares, other stockholders' equity or reserve accounts, a brief explanation of such changes shall be set forth in a note or supporting schedule to the balance sheet filed.

(ii) If the registrant is about to emerge from such a reorganization, there shall be filed, in addition to the balance sheet of the registrant otherwise required, a balance sheet giving effect to the plan of reorganization. These balance sheets shall be set forth in such form, preferably columnar, as will show in related manner the balance sheet of the registrant prior to the reorganization and the balance sheet of the registrant after giving effect to the plan of reorganization. By a footnote or otherwise a brief explanation of the changes shall be given.

(5) *Filing of other financial statements in certain cases.* The Commission may, upon the informal written request of the registrant and where consistent with the protection of investors, permit the omission of one or more of the financial statements herein required or the filing in substitution therefor of appropriate statements of comparable character. The Commission may also by informal written notice require the filing of other financial statements in addition to, or in substitution for, the statements herein required in any case where such statements are necessary or appropriate for an adequate presentation of the financial condition of any person whose financial statements are required or whose statements are otherwise necessary for the protection of investors.

§ 239.90 Form 1-A, notification under Regulation A.

11. Item 11 of Schedule I under § 239.90 is amended by revising paragraphs (a) and (b) and by adding paragraph (c) to read as follows:

Item 11. . . .

(a) A balance sheet shall be furnished as of a date within 90 days prior to the filing of a notification, or such longer period of time, not exceeding six months, as the Commission may permit at the written request of the issuer upon a showing of good cause therefor.

(b) Statements of income, statements of source and application of funds, and statements of other stockholders' equity shall be furnished for each of at least two full fiscal years prior to the date of the statement furnished pursuant to paragraph (a) above, and for the period, if any, between the close of the last full fiscal year and the date of such statements, or for the period of the issuers' existence if less than the period specified above.

(c) If the issuer meets the criteria for a development stage company specified in Rule 1-02 of Regulation S-X, additional information shall be included, as prescribed in Rule 5A-02 of Regulation S-X, in the financial statements required to be furnished under paragraphs (a) and (b).

PART 240—GENERAL RULES AND REGULATIONS UNDER THE SECURITIES EXCHANGE ACT OF 1934

15. § 240.13a-13 (b) is revised to read as follows:

§ 240.13a-13 Quarterly reports on Form 10-Q. (§ 249.308a of this chapter).

(5) Mining companies not in the production stage but engaged primarily in the exploration for or the development of mineral deposits other than oil, gas or coal, if all the following conditions are met:

(a) The registrant has not been in production during the current fiscal year or the two years immediately prior thereto; except that being in production for an aggregate period of no more than eight months over the three-year period shall not be a violation of this condition.

(b) Receipts from the sale of mineral products or from the operations of mineral producing properties by the registrant and its subsidiaries combined have not exceeded \$500,000 in any of the most recent six years and have not aggregated more than \$1,500,000 in the most recent six fiscal years.

16. § 240.15d-13 (b) (5) is revised to read as follows:

§ 240.15d-13 Quarterly reports on Form 10-Q (§ 249.308a of this chapter).

(b)

(5) Mining companies not in the production stage but engaged primarily in the exploration for or the development of mineral deposits other than oil, gas or coal, if all the following conditions are met:

(a) The registrant has not been in production during the current fiscal year or the two years immediately prior thereto; except that being in production for an aggregate period of no more than eight months over the three-year period shall not be a violation of this condition.

(b) Receipts from the sale of mineral products or from the operations of mineral producing properties by the registrant and its subsidiaries combined have not exceeded \$500,000 in any of the most recent six years and have not aggregated more than \$1,500,000 in the most recent six fiscal years.

PART 249—FORMS, SECURITIES EXCHANGE ACT OF 1934

§ 249.210 Form 10, general form for registration of securities pursuant to section 12 (b) or (g) of the Securities Exchange Act of 1934.

12. Instruction 14 of the Instructions as to Financial Statements of Form 10 under § 249.210 is revised to read as follows:

14. *Registrants in the development stage.* (a) If the registrant meets the criteria for a development stage company specified in Rule 1-02 of Regulation S-X, additional information shall be included, as prescribed in Rule 5A-02 of Regulation S-X, in the financial statements required to be furnished under these instructions.

(b) If the registrant meets the criteria for a development stage company, the Summary of Operations and supplementary information specified in Item 2 need not be furnished, inasmuch as, under the criteria, principal operations have not commenced or there has been no significant revenue therefrom.

§ 249.310 Form 10-K, annual report pursuant to section 13 or 15d of the Securities Exchange Act of 1934.

13. Instruction 8 of the Instructions as to Financial Statements of Form 10-K under § 249.310 is amended by revising paragraph (a), adding new paragraph (b), and old (b) is redesignated paragraph (c) with the introductory paragraph revised to read as follows:

8. *Registrants in the development stage.* (a) If the registrant meets the criteria for a development stage company specified in Rule 1-02 of Regulation S-X, additional information shall be included, as prescribed in Rule 5A-02 of Regulation S-X, in the financial statements required to be furnished under these instructions.

(b) If the registrant meets the criteria for a development stage company, the Summary of Operations and supplementary information specified in Item 2 need not be furnished, inasmuch as, under the criteria, principal operations have not commenced or there has been no significant revenue therefrom.

(c) Notwithstanding the foregoing instructions for audited financial statements, if the registrant meets the criteria for a development stage company, the financial statements prescribed above need not be audited if all of the following conditions are met by the registrant and each of its subsidiaries, if any:

§ 249.308a Form 10-Q, for quarterly reports under section 15d of the Securities Exchange Act of 1934.

14. Instruction H(a) (3) is revised to read as follows:

H. *Financial statements.* (a)
(3) Rules 3-08 and 3-16 of Regulation S-X and other requirements which call for detailed footnote disclosure and schedules shall not apply. As with all information filed with the Commission, however, disclosures must be adequate to make the information present not misleading.

[FR Doc. 75-32341 Filed 11-26-75; 11:01 am]

**Title 19—Customs Duties
CHAPTER I—UNITED STATES CUSTOMS SERVICE**

[T.D. 75-299]

PART 4—VESSELS IN FOREIGN AND DOMESTIC TRADES

Explanation of Manifest Discrepancy

On June 9, 1975, a notice of proposed rulemaking was published in the Federal Register (40 FR 24527) setting forth a proposal to amend § 4.12(a) (5) of the Customs Regulations (19 CFR 4.12(a) (5)) to incorporate therein a definition of the term "clerical error or other mistake". This term is contained in sec-

tion 584 of the Tariff Act of 1930, as amended (19 U.S.C. 1584).

Section 584 provides penalties for the failure to produce a manifest or for any discrepancies in a manifest. However, this section also provides that penalties shall not be incurred if, among other circumstances, the district director is satisfied that the manifest is incorrect by reason of clerical error or other mistake. Inasmuch as the uniform application of the Customs laws and regulations is essential for their effective administration, the inclusion in the regulations of a definition of the term "clerical error or other mistake" will be helpful to both Customs officers and the public.

The notice proposed to amend section 4.12(a)(5) of the Customs Regulations to define the term "clerical error or other mistake" for the purpose of that section as a non-negligent, inadvertent, or typographical mistake in the preparation, assembly, or submission of manifests. It further set forth that repeated similar manifest discrepancies by the same parties may be deemed the result of negligence and not clerical error or other mistake.

After careful consideration of the comments received in response to the notice of proposed rulemaking, no changes in the proposed amendment were deemed necessary.

Accordingly, § 4.12(a)(5) of the Customs Regulations (19 CFR 4.12(a)(5)) is amended to read as follows:

§ 4.12 Correction of manifest.

(a) * * *

(5) Unless the required notification and explanation is made timely and the district director is satisfied that the discrepancies resulted from clerical error or other mistake and that there has been no loss of revenue (and in the case of a discrepancy not initially reported by the master or agent that there was a valid reason for failing to so report), applicable penalties under section 584, Tariff Act of 1930, as amended (19 U.S.C. 1584), shall be assessed (see section 162.31 of this chapter). For the purpose of this section, the term "clerical error or other mistake" is defined as a non-negligent, inadvertent, or typographical mistake in the preparation, assembly, or submission of manifests. However, repeated similar manifest discrepancies by the same parties may be deemed the result of negligence and not clerical error or other mistake. For the purpose of assessing applicable penalties, the value of the merchandise shall be determined as prescribed in section 162.43 of this chapter. The fact that the master or owner had no knowledge of a discrepancy shall not relieve him from the penalty.

(R.S. 251, as amended, secs. 440, 584, 624, 46 Stat. 712, as amended, 748, as amended, 759 (19 U.S.C. 66, 7440, 1584, 1624))

Effective date. This amendment shall become effective on January 2, 1976.

VERNON D. ACREE,
Commissioner of Customs.

Approved: November 24, 1975.

DAVID R. MACDONALD,
Assistant Secretary of the
Treasury.

[FR Doc. 75-32362 Filed 12-1-75; 8:45 am]

PART 201—RULES OF GENERAL APPLICATION

Adoption of Official Seal; Correction

In FR Doc. 75-31131 appearing at page 53384 in the issue of Tuesday, November 18, 1975, § 201.00 concerning the official seal of the United States International Trade Commission was mistakenly cited as § 200.00.

The correct citation of the regulation reads as follows:

§ 201.00 Seal.

By order of the Commission.

Issued: November 25, 1975.

[SEAL] KENNETH R. MASON,
Secretary.

[FR Doc. 75-32322 Filed 12-1-75; 8:45 am]

Title 21—Food and Drugs

CHAPTER I—FOOD AND DRUG ADMINISTRATION, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

[Docket No. 75N-0212]

PART 4—PUBLIC INFORMATION

PART 7—PROTECTION OF PRIVACY

Protection of Privacy; Rules To Implement the Privacy Act of 1974

The Commissioner of Food and Drugs issued, in the FEDERAL REGISTER of August 27, 1975 (40 FR 39388), proposed rules to implement the Privacy Act of 1974 (5 U.S.C. 552a) with respect to systems of records maintained by the Food and Drug Administration (FDA). Corrections to the notice were published in the FEDERAL REGISTER of October 1, 1975 (40 FR 45190). Interested persons were invited to submit written comments on the proposal within 30 days after its publication in the FEDERAL REGISTER. No comments were received.

The proposed regulations are adopted with certain clarifications and are effective December 2, 1975. The Commissioner finds that there is good cause for the regulations to be made effective immediately, despite the requirements of 5 U.S.C. 553(d)(3) (the Administrative Procedure Act), because of the need to have in effect final regulations to carry out section 3 of the Privacy Act (5 U.S.C. 552a), which became effective on September 27, 1975. Furthermore, the failure of any interested persons to file comments on the proposed regulations, from which these final regulations diverge only in minor ways, indicates that no person is likely

to be prejudiced by the immediate effective date.

The Commissioner also issued, in the FEDERAL REGISTER of August 27, 1975 (40 FR 39073), a notice of 12 systems of records maintained by the FDA that are subject to the Privacy Act. Corrections to that notice were published in the FEDERAL REGISTER of October 1, 1975 (40 FR 45214). No comments were received on the systems of records described in the notice. Notice of two additional FDA systems of records was published in the FEDERAL REGISTER of October 15, 1975 (40 FR 48462). In the notices published on August 27, 1975 and October 15, 1975, the notification procedures for all 14 systems state that the FDA Privacy Coordinator's mailing symbol is HF-50. The Commissioner has located the Privacy Coordinator in the Food and Drug Administration's Public Records and Documents Center, and the new mailing symbol is HFC-18.

The 14 FDA systems of records covered by the two notices are as follows:

- FDA-1 Association of Official Analytical Chemists (AOAC) Member File.
- FDA-2 Certified Refert Operators.
- FDA-3 Clinical Investigator Records.
- FDA-4 Communications (oral and written) with the public.
- FDA-5 FDA Credential Holder File.
- FDA-6 Individual and Household Statistical Surveys and Special Studies on FDA-Regulated Products.
- FDA-7 Quality Assurance Program.
- FDA-8 Radiation Protection Program Personnel Monitoring System.
- FDA-9 Radiation Registry of Physicians.
- FDA-10 Regulated Industry Employee Enforcement Records.
- FDA-11 Science Advisor Research Associate Program (SARAP).
- FDA-12 State Food and Drug Official File.
- FDA-13 Employee Conduct Investigative Records.
- FDA-14 Service Contractor Employees Investigative Records.

1. The proposed amendments to §§ 4.21 and 4.80 (21 CFR 4.21 and 4.80), concerning uniform access to records and applicability of limitations on exemptions, are adopted with several editorial changes.

Several matters that are addressed in the regulations that are the subject of this order, e.g., disclosure of medical records (21 CFR 7.33) and mailing lists (21 CFR 4.119), are still being reviewed by the FDA in its consideration of comments received on the public information regulations, published in the FEDERAL REGISTER of December 24, 1974 (39 FR 44602). At the conclusion of the review, additional changes may be made in Part 4 or Part 7 to reflect the Commissioner's decisions on these matters.

2. Section 7.1 (21 CFR 7.1), defining the purpose and scope of the privacy regulations, includes a reference in paragraph (b)(4) that only § 7.32 (21 CFR 7.32) applies to personnel records maintained by the Division of Personnel Management, Food and Drug Administration. Records in this Division are

subject to Civil Service Commission regulations (5 CFR Parts 293, 294, 297) and to the following systems, notice of which was published in the FEDERAL REGISTER of August 27, 1975 (40 FR 39239):

- CSC/GOVT-1 Appeals, Grievances, and Complaints Records—CSC.
- CSC/GOVT-2 Confidential Employment and Financial Interest Statements.
- CSC/GOVT-3 General Personnel Records.
- CSC/GOVT-5 Recruiting, Examining, and Placement Records—CSC.

3. The definition of "Privacy Act Record System" in § 7.3(c) (21 CFR 7.3(c)) includes a new sentence to indicate that the term encompasses record systems maintained by the FDA that are subject to notices published by the Department of Health, Education, and Welfare and other agencies, as well as those published by the FDA. For example, the notice of the following systems of records, published by the Department of Health, Education, and Welfare (the Department) in the FEDERAL REGISTER of August 27, 1975 (40 FR 38391), covers records that are maintained by the FDA:

- OS ASAM MT 1 Telephone Director/locator System. HEW-OS-ASAM-OMPT
- OS ASAM IS 3 Photo Identification Cards System. HEW-OS-ASAM-IS
- OS ASAM SM 1 Safety Management Information System (DHEW Accident Injury and Illness Reporting System). HEW-OS-ASAM-SM
- OS ASAM PT 1.01 Applicants for Employment Records.
- OS ASAM PT 2.01 Complaints and Inquiries Records—Miscellaneous.
- OS ASAM PT 3 Conflict of Interest Records System.
- OS ASAM PT 4.01 Discrimination Complaints Records System.
- OS ASAM PT 5 Employee Alcoholism, Drug Abuse and Emotional Problem Counseling and Referral Records.
- OS ASAM PT 6 Employees Appraisal Program Records.
- OS ASAM PT 7 Executive Development Records System.
- OS ASAM PT 8 Federal Employees Occupational Health Program Records.
- OS ASAM PT 9.01 Grievances Filed Under the Informal Grievance Procedures.
- OS ASAM PT 10.01 Grievance Records Filed Under Procedures Established by Labor-Management Negotiations.
- OS ASAM PT 11 DHEW Motor Vehicle Operator Records.
- OS ASAM PT 12.01 Pay, Leave, and Attendance Records.
- OS ASAM PT 13.01 Personnel Records in Operating Offices.
- OS ASAM PT 14 Special Employment Programs.
- OS ASAM PT 15.01 Suitability for Employment Records.
- OS ASAM PT 16.01 Training Manpower Information System.
- OS ASAM PT 17.01 Volunteer EEO Support Personnel Records.
- OS ASAM PT 18 Unfair Labor Practice Records.
- OS ASAM PE Departmental Parking Control Policy.
- OS ASC 1 Accounting Records of Payments to Individuals from Agency and Regional Financial Management and Disbursing Offices.
- OS ASC 2 Central Registry of Individuals Doing Business with HEW.
- OS DMPD Employee Suggestion Program. HEW-OS-DMPD

- OS PA FOIA 1 Freedom of Information Case File and Correspondence Control Index.
- OS SP DCMO Federal Advisory Committee Membership Files.
- OASH OAM 0008.00 PHS Commissioned Corps Unofficial Personnel Files, Leave, Identification and Privilege Card Records in Operating Program Offices and Field Stations.

The definition of "personal identifiers" in § 7.3(d) (21 CFR 7.3(d)) is amended to indicate that the term does not include names or symbols assigned to products, establishments, or actions, even if they may aid in locating records about an individual, such as by reference to a number assigned to a regulated establishment in which the individual works.

4. Section 7.20 (21 CFR 7.20), which outlines procedures for notice of Food and Drug Administration Privacy Act Record Systems, is adopted with an editorial change in paragraph (b) (5). In addition, the provisions in proposed § 7.20 (b) (8) through (10) are modified to conform more closely to the format that has been used for publishing notice of Food and Drug Administration Privacy Act Record Systems. As changed, the notice for any Privacy Act Record System that is published by the Food and Drug Administration will indicate the address of the FDA Privacy Coordinator as the person to contract in the "notification procedures," the "record access procedures," and the "contesting record procedures," regardless of whether the system is subject to an exemption. The only difference between exempt and nonexempt systems is: Notice of an exempt system will include appropriate references to the exemption in those parts of the notice describing the record access procedures and the contesting record procedures, as well as a description of the sections of the Privacy Act from which the system is exempt. The notice will include a description of the categories of sources of records, even if the system is exempt from the Privacy Act.

5. Section 7.21(a) (21 CFR 7.21(a)), concerning notice of systems, is modified to make it clear that the procedures for FDA notification of altered or new Privacy Act Record Systems shall be those applicable procedures that are prescribed by the Department and the Office of Management and Budget. Paragraph (a) is not intended to state any additional requirements.

Section 7.21(b) (2) is modified to make it clear that an expansion in the type or amount of information that a Privacy Act Record System contains is only significant when the expansion concerns information about individuals, rather than an increase in the amount of impersonal information about products, establishments, etc. Corrections in references are made in § 7.21(d).

6. Section 7.32 (21 CFR 7.32), concerning personnel records, is adopted with several changes. The Commissioner does not intend that § 7.32 or other procedures to implement the Privacy Act replace any informal procedures for employees to obtain access to an amendment of records about themselves that existed prior to the Privacy Act. Thus, the Division of Personnel Management and other FDA

offices that maintain various personnel-related records may continue to allow employees to see those records about themselves that have traditionally been available to them and may continue to allow employees to request correction of errors in their records, e.g., errors in Social Security number, tax or charity withholding, health or life insurance, leave, etc., on an informal basis and without having to submit a Privacy Act request for such access or correction. An employee should indicate that a request is under the Privacy Act to invoke the applicable provisions of 21 CFR Part 7.

In paragraph (b) of § 7.32, which concerns official personnel records about FDA employees, a reference is included to the new Civil Service Commission Freedom of Information regulations in 5 CFR Part 294, as well as to the Commission's Privacy Act regulations in 5 CFR Parts 293 and 297. Part 294 of Title 5 of the Code of Federal Regulations was amended in the FEDERAL REGISTER of August 27, 1975 (40 FR 38140), and includes several provisions on the availability to an individual of records about himself. Section 7.32 contains, as does § 7.1, a provision that the Commission's procedures, rather than the procedures in § 7.33 and Subparts D through F of Part 7, shall govern the availability of present or former FDA employee's personnel records that are maintained by the Commission, by the Division of Personnel Management or, with respect to field employees, by Department regional offices.

Paragraph (c) of § 7.32, which applies to personnel records or other employees' records that are maintained by the FDA in offices other than the Division of Personnel Management, is changed to exclude records in operating offices, which are dealt with separately in paragraph (d) of this section. Records subject to paragraph (c) would be subject to the procedures in Part 7, except that requests for access to or amendment of records may only be denied by the Associate Commissioner for Administration rather than the Associate Commissioner for Compliance. At present, the systems of records that would be subject to paragraph (c) include those routine personnel and administrative management records that are covered by a Department-wide notice, i.e., those listed in item 3 of this preamble that are neither maintained by the Division of Personnel Management nor subject to OS ASAM PT 13, the notice for personnel records in operating offices. Also subject to § 7.32(c) are several FDA systems (FDA-5, FDA-7, FDA-11, and FDA-13) as they relate to agency employees.

Paragraph (d) of § 7.32 specifies additional details on informal procedures for access to personnel records informally maintained by administrative offices in units of the agency and by supervisors. As with records maintained by the Division of Personnel Management, only the Associate Commissioner for Administration or his designate may refuse an employee access to records about himself or a request for amendment of these records.

7. Section 7.33 (21 CFR 7.33), concerning medical records, is changed by adding a provision to enable the agency to follow the same procedures in disclosure to an individual of his medical records under Part 7 that apply when disclosure is made under Part 4.

8. Section 7.40 (21 CFR 7.40) outlines procedures for submitting requests for notification and access and is adopted with two changes. A sentence is added to § 7.40(f), stating that an individual seeking access under § 7.65(b)(2) to investigatory records compiled for law enforcement purposes other than criminal law enforcement purposes should submit a description of the right, benefit, or privilege allegedly denied as a result of maintenance of the material. Section 7.40(g) is changed to indicate that the FDA will for the time being use the Privacy Act request forms developed by the General Services Administration (OF-203), rather than develop its own forms.

9. Section 7.41 (21 CFR 7.41), concerning processing of requests, is adopted with a change in § 7.41(b) to make it clear that the FDA will determine if a request is under the Privacy Act when about himself is appropriately treated as a request under Part 4, Part 7, or both. When necessary, the FDA will consult with the individual about the appropriate treatment of the request. This may be done, for example, when the individual's request is vague, or asserts that the request is under the Privacy Act when it does not appear that a record about the requesting individual is sought, or when a specific Privacy Act record system is not named.

It should be noted that requests for records sought under Part 4 must reasonably describe the records being sought in a way that they can be identified and located (21 CFR 4.40(b)). This requirement is not altered by § 7.41(b).

Section 7.41(c) as adopted indicates that the FDA Privacy Coordinator is located in the Food and Drug Administration's Public Records and Documents Center. Matters relating to present or former FDA employees will be referred to the Office of Administration, Food and Drug Administration (generally the Division of Personnel Management) for handling. Locating the FDA Privacy Coordinator in the Public Records and Documents Center enables the agency to assure coordination of requests under the Privacy Act with requests under the Freedom of Information Act.

An editorial change is made in § 7.41(d).

Section 7.41(e) is adopted as proposed, with one addition: Once a decision is made to treat a request under Part 4 rather than Part 7, or under both parts, the time limitations prescribed in § 4.41 (21 CFR 4.41) shall apply. These time limitations shall commence at the time a decision is made that the request is properly handled in whole or in part under Part 4. In any case, access to available records shall be provided as promptly as possible. A provision (formerly § 7.43(d)) to this effect is added to § 7.41(e).

10. Sections 7.41(f) and 7.42(b) are amended to provide that access to records in FDA Privacy Act Record Systems other than personnel records shall be denied only by the Associate Commissioner for Compliance or his designate. Under § 7.32, only the Associate Commissioner for Administration may deny access to personnel records. Section 7.41(f) is also amended to indicate that Part 7 does not make available to individuals information that was compiled in reasonable anticipation of court litigation or formal administrative proceedings, and a conforming change is included in § 7.42, which concerns responses to requests. These changes are made to conform to § 7.1(b)(3).

Section 7.42(a)(3) of this section is amended to indicate that where records are available under Part 4 the records may be enclosed with the letter informing the individual of this fact in accordance with Part 4.

11. A reference is included in § 7.43(a)(2) to the address of the Public Records and Documents Center. Section 7.43(c) is amended to indicate that in assuring that records made available to an individual can be understood by the individual, as required by the Privacy Act, the FDA may provide either an oral or a written explanation of the records. Section 7.43(d) is deleted because the provision that access to requested records shall be provided as promptly as possible has been added to § 7.41(e).

12. The provisions in § 7.44 (21 CFR 7.44), which relates to verification of the identity of individuals making requests for records, have been simplified and made consistent with the Department regulations (45 CFR 5b.5(b)), published in the FEDERAL REGISTER of October 8, 1975 (40 FR 47406, 47411).

13. Section 7.45 (21 CFR 7.45), concerning fees, is adopted with several editorial changes. Paragraph (d), relating to fees for personnel records, is deleted since the material is covered in § 7.32, as well as the Civil Service Commission regulations.

14. Section 7.50 (21 CFR 7.50) is adopted with editorial changes in paragraphs (a) and (c).

15. Paragraph (a)(2) in § 7.51 (21 CFR 7.51) is changed to indicate that, except for personnel records that are subject to § 7.32, refusals to amend records may only be made by the Associate Commissioner for Compliance or his designate. Paragraph (b) of § 7.51 provides that an extension of time for acting on a request for amendment shall be 30 working days. Paragraph (c) of § 7.51 is changed to make it clear that the standard to be applied in reviewing requests to amend records applies to all reviewing officials, i.e., the Associate Commissioner for Administration for personnel records, the Associate Commissioner for Compliance for other records, and the Commissioner of Food and Drugs in appeals from decisions by the latter officials.

16. Section 7.61 (21 CFR 7.61), which relates to exempt systems of records, is changed to refer to "records" rather than "material" or "information." In the pro-

posal, paragraph (b) of § 7.61 listed three exempt record systems, the third being "[e]mployee, consultant, and contractor security and investigative records that are the subject of a Department notice, to the extent that these files are maintained by the Food and Drug Administration." It has been determined that the Department-wide notice does not adequately describe the Food and Drug Administration files in question. The Commissioner has therefore issued in the FEDERAL REGISTER of October 15, 1975 (40 FR 48462), notice of the records in question, as the Employee Conduct Investigative Records, FDA-13, and as the Service Contractor Employees Investigative Records, FDA-14. In developing the FDA notice, it was found to be more practicable to develop two notices rather than one for the records in question, all of which are maintained by the Policy Management Staff of the FDA. A conforming amendment is made in paragraph (c) of § 7.61.

17. Section 7.65 (21 CFR 7.65) is adopted with a number of editorial changes. A sentence is added to paragraph (b)(2) of the section, which provides that an individual given access to records by reason of the proviso to 5 U.S.C. 552a(k)(2) is not entitled under Subpart E of Part 7 to seek amendment of the record that he alleges resulted in denial to him of a right, benefit, or privilege to which he would otherwise have been entitled under Federal law. The proviso only enables an individual to receive access to such investigatory records.

18. Section 7.71 (21 CFR 7.71), which concerns disclosure of records in Privacy Act Record Systems, is adopted with a correction in paragraph (e)(4) of the section.

19. The provisions in § 7.72 (21 CFR 7.72) for individual consent to disclosure of records to other persons is changed to assure consistency with the final Department-wide regulations.

20. Section 7.75 (21 CFR 7.75), which concerns the right of legal guardians, is adopted with an editorial change.

Therefore, under the Federal Food, Drug, and Cosmetic Act (sec. 201 et seq., 52 Stat. 1040 et seq., as amended (21 U.S.C. 321 et seq.)); the Public Health Service Act (sec. 1 et seq., 58 Stat. 682 et seq., as amended (42 U.S.C. 201 et seq.)); the Freedom of Information Act (Pub. L. 90-23, 81 Stat. 54-56, as amended (5 U.S.C. 552)); the Privacy Act of 1974 (Pub. L. 93-579, sec. 2 et seq., 88 Stat. 1896 (5 U.S.C. 552a)), and under authority delegated to him (21 CFR 2.120), the Commissioner amends Chapter I, of Title 21 of the Code of Federal Regulations as follows:

a. In Subpart B, § 4.20 is amended by revising paragraph (c) and by adding a new paragraph (d) to read as follows:

§ 4.20 Policy on disclosure of Food and Drug Administration records.

(c) Except as provided in paragraph (d) of this section, all nonexempt records shall be made available for public disclosure upon request regardless

whether any justification or need for such records have been shown.

(d) Under § 7.71 of this chapter, a statement of the purposes to which the record requested is to be put, and a certification that the record will be so used, may be requested when:

(1) The requested record is contained in a Privacy Act Record System as defined in § 7.3(c) of this chapter;

(2) The requester is a person other than the individual who is the subject of the record that is so retrieved or a person acting on his behalf; and

(3) The disclosure is one that is discretionary, i.e., not required under this part.

b. In Subpart B, § 4.21 is amended by adding a new paragraph (c) to read as follows:

§ 4.21 Uniform access to records.

(c) Disclosure of a record about an individual, as defined in § 7.3(a) of this chapter, that is retrieved by the individual's name or other personal identifier and is contained in a Privacy Act Record System, as defined in § 7.3(c) of this chapter, shall be subject to the special requirements of Part 7 of this chapter. Disclosure of such a record to an individual who is the subject of the record does not invoke the rule established in this section that such records shall be made available for disclosure to all members of the public.

c. In Subpart C, § 4.40 is amended by adding a new paragraph (d) to read as follows:

§ 4.40 Filing a request for records.

(d) A request by an individual, as defined in § 7.3(a) of this chapter, for a record about himself shall be subject to:

(1) The special requirements of Part 7 of this chapter (the privacy regulations), and not to the provisions of this subpart, if the record requested is retrieved by the individual's name or other personal identifier and is contained in a Privacy Act Record System, as defined in § 7.3(c) of this chapter.

(2) The provisions of this subpart if the record requested is not retrieved by the individual's name or other personal identifier, whether or not the record is contained in a Privacy Act Record System.

d. In Subpart E, § 4.80 is amended by adding a new paragraph (d) to read as follows:

§ 4.80 Applicability of limitations on exemptions.

(d) In the case of a record in a Privacy Act Record System, as defined in § 7.3(c) of this chapter:

(1) The availability to an individual, as defined in § 7.3(a), of a record about himself that is retrieved by the individual's name or other personal identifier and is contained in a Privacy Act Record System shall be subject to the special requirements of Part 7 of this chapter

(the privacy regulations) and shall not be subject to the exemptions in Subpart D of this part except that where the system is exempt and the requested record is not available under § 7.61 of this chapter, the provisions of this part shall apply.

(2) The availability of a record about an individual to persons other than the individual who is the subject of the record shall be subject to the special requirements of Part 7, Subpart G, of this chapter (restrictions on disclosure in the privacy regulations), and shall not be subject to the limitations on exemptions in this subpart except as provided in Part 7, Subpart G, of this chapter.

e. In Subpart E, § 4.82 is amended by adding a new paragraph (b) (4) to read as follows:

§ 4.82 Discretionary disclosure by the Commissioner.

(b) (4) Contained in a Privacy Act Record System where disclosure would constitute a clearly unwarranted invasion of personal privacy or is otherwise in violation of 5 U.S.C. 552a(b), as applied in Part 7, Subpart G, of this chapter (restrictions on disclosure in the privacy regulations).

f. In Subpart E, § 4.83 is amended by designating the existing text as paragraph (a) and adding new paragraphs (b) and (c) to read as follows:

§ 4.83 Disclosure required by court order.

(b) Where the Food and Drug Administration record ordered disclosed under paragraph (a) of this section is a record about an individual that is not available for public disclosure under § 4.63, the Food and Drug Administration shall attempt to notify the individual who is the subject of the record of the disclosure, by sending a notice to the individual's last known address.

(c) Paragraph (b) of this section shall not apply where the name or other personal identifying information is deleted prior to disclosure.

g. In subpart F by adding the following new section to read as follows:

§ 4.119 Lists of names and addresses.

Names and addresses of individuals in Food and Drug Administration records shall not be sold or rented. Names and addresses shall not be disclosed if disclosure is prohibited as a clearly unwarranted invasion of personal privacy, e.g., lists of names and home addresses of Food and Drug Administration employees, which shall not be disclosed under § 4.110.

2. A new Part 7 is added to read as follows:

Subpart A—General Procedures

- Sec. 7.1 Purpose and scope.
- 7.3 Definitions.
- 7.10 Policy concerning records about individuals.

Subpart B—Food and Drug Administration Privacy Act Record Systems

- 7.20 Procedures for notice of Food and Drug Administration Privacy Act Record Systems.
- 7.21 Changes in systems and new systems.

Subpart C—Requirements for Specific Categories of Records

- 7.30 Records of contractors.
- 7.31 Records stored by the General Services Administration and archival records.
- 7.32 Personnel records.
- 7.33 Medical records.

Subpart D—Procedures for Notification and Access to Records in Privacy Act Record Systems

- 7.40 Procedures for submitting requests for notification and access.
- 7.41 Processing of requests.
- 7.42 Responses to requests.
- 7.43 Access to requested records.
- 7.44 Verification of identity.
- 7.45 Fees.

Subpart E—Procedures for Requests for Amendment of Records

- 7.50 Procedures for submitting requests for amendment of records.
- 7.51 Responses to requests for amendment of records.
- 7.52 Administrative appeals of refusals to amend records.
- 7.53 Notation and disclosure of disputed records.
- 7.54 Amended or disputed records received from other agencies.

Subpart F—Exemptions

- 7.60 Policy.
- 7.61 Exempt systems.
- 7.65 Access to records in exempt systems.

Subpart G—Disclosure of Records in Privacy Act Record Systems to Persons Other Than the Subject Individual

- 7.70 Disclosure and intra-agency use of records in Privacy Act Record Systems; no accounting required.
- 7.71 Disclosure of records in Privacy Act Record Systems; accounting required.
- 7.72 Individual consent to disclosure of records to other persons.
- 7.73 Accuracy, completeness, timeliness, and relevance of records disclosed from Privacy Act Record Systems.
- 7.74 Providing notice that a record is disputed.
- 7.75 Rights of legal guardians.

AUTHORITY: Sec. 201 et seq., Pub. L. 717, 82 Stat. 1040 et seq., as amended (21 U.S.C. 321 et seq.); sec. 1 et seq., Pub. L. 410, 58 Stat. 682 et seq., as amended (42 U.S.C. 201 et seq.); Pub. L. 90-23, 81 Stat. 54-56, as amended (5 U.S.C. 552); Pub. L. 93-579, 88 Stat. 1896 (5 U.S.C. 552a).

Subpart A—General Provisions

§ 7.1 Purpose and scope.

(a) This part establishes procedures to implement the Privacy Act of 1974 (5 U.S.C. 552a). It applies to records about individuals that are maintained, collected, used, or disclosed by the Food and Drug Administration and contained in Privacy Act Record Systems.

(b) This part does not:

(1) Apply to Food and Drug Administration record systems that are not Privacy Act Record Systems or make available to an individual records that may include references to him but that are not retrieved by his name or other personal identifier, whether or not contained in a Privacy Act Record System.

Part 4 of this chapter (the public information regulations) and other regulations referred to therein determine when records are made available in such cases.

(2) Make any records available to persons other than (i) individuals who are the subjects of the records, (ii) persons accompanying such individuals under § 7.43, (iii) persons provided records pursuant to individual consent under § 7.72, or (iv) persons acting on behalf of such individuals as legal guardians under § 7.75. Part 4 of this chapter (the public information regulations) and other regulations referred to therein determine when Food and Drug Administration records are disclosable to members of the public generally. Subpart G of this part limits the provisions of Part 4 of this chapter with respect to disclosures of records about individuals from Privacy Act Record Systems to persons other than individuals who are the subjects of the records.

(3) Make available information compiled by the Food and Drug Administration in reasonable anticipation of court litigation or formal administrative proceedings. The availability of such information to any member of the public, including any subject individual or party to such litigation or proceeding shall be governed by applicable constitutional principles, rules of discovery, and Part 4 of this chapter (the public information regulations).

(4) Apply to personnel records maintained by the Division of Personnel Management, Food and Drug Administration, except as provided in § 7.32. Such records are subject to regulations of the Civil Service Commission in 5 CFR Parts 293, 294, and 297.

§ 7.3 Definitions.

As used in this part:

(a) "Individual" means a natural living person who is a citizen of the United States or an alien lawfully admitted for permanent residence. Individual does not include sole proprietorships, partnerships, or corporations engaged in the production or distribution of products regulated by the Food and Drug Administration or with which the Food and Drug Administration has business dealings. Any such business enterprise that is identified by the name of one or more individuals is not an individual within the meaning of this part. Employees of regulated business enterprises are considered individuals. Accordingly, physicians and other health professionals who are engaged in business as proprietors of establishments regulated by the Food and Drug Administration are not considered individuals; however, physicians and other health professionals who are engaged in clinical investigations, employed by regulated enterprises, or the subjects of records concerning their own health, e.g., exposure to excessive radiation, are considered individuals. Food and Drug Administration employees, consultants, and advisory committee members, State and local officials, and consumers are considered individuals.

(b) "Records about individuals" means items, collections, or groupings of information

about individuals contained in Privacy Act Record Systems, including, but not limited to education, financial transactions, medical history, criminal history, or employment history, that contain names or personal identifiers.

(c) "Privacy Act Record System" means a system of records about individuals under the control of the Food and Drug Administration from which information is retrieved by individual names or other personal identifiers. The term includes such a system of records whether subject to a notice published by the Food and Drug Administration, the Department, or another agency. Where records are retrieved only by personal identifiers other than individual names, a system of records is not a Privacy Act Record System if the Food and Drug Administration cannot, by reference to information under its control, or by reference to records of contractors that are subject to this part under § 7.30, ascertain the identity of individuals who are the subjects of the records.

(d) "Personal identifiers" includes individual names, identifying numbers, symbols, or other identifying designations assigned to individuals. "Personal identifiers" does not include names, numbers, symbols, or other identifying designations that identify products, establishments, or actions.

(e) "Personnel records" means any personal information maintained in a Privacy Act Record System that is needed for personnel management programs or processes such as staffing, employee development, retirement, and grievances and appeals.

(f) "Department" means Department of Health, Education, and Welfare.

§ 7.10 Policy concerning records about individuals.

Information about individuals in Food and Drug Administration records shall be collected, maintained, used, and disseminated so as to protect the right to privacy of the individual to the fullest possible extent consistent with laws relating to disclosure of information to the general public, the law enforcement responsibilities of the agency, and administrative and program management needs.

Subpart B—Food and Drug Administration Privacy Act Record Systems

§ 7.20 Procedures for notice of Food and Drug Administration Privacy Act Record Systems.

(a) The Food and Drug Administration shall issue in the FEDERAL REGISTER on or before August 30 of each year a notice concerning each Privacy Act Record System as defined in § 7.3(c) that is not covered by a notice published by the Department, the Civil Service Commission, or another agency.

(b) The notice shall include the following information:

- (1) The name and location(s) of the system.
- (2) The categories of individuals about whom records are maintained in the system.
- (3) The categories of records maintained in the system.

(4) The authority for the system.

(5) Each routine use of the records contained in the system (i.e., use outside the Department of Health, Education, and Welfare that is compatible with the purpose for which the records were collected and described in the notice) including the categories of users and the purposes of such use.

(6) The policies and practices of the Food and Drug Administration regarding storage, retrievability (i.e., how the records are indexed and what intra-agency uses are made of the records), access controls, retention, and disposal of the records in that system.

(7) The title and business address of the official who is responsible for the system of records.

(8) The notification procedure, i.e., the address of the FDA Privacy Coordinator, whom any individual can contact to seek notification whether the system contains a record about him.

(9) The record access and contest procedures, which shall be the same as the notification procedure except that a reference shall be included to any exemption from access and contest.

(10) Where any records in the system are subject to an exemption under § 7.61, a reference to this exemption.

(11) The categories of sources of records in the system.

§ 7.21 Changes in systems and new systems.

(a) The Food and Drug Administration shall notify the designated Department official, the Office of Management and Budget (Information Systems Division), and the Congress of proposals to change or establish Privacy Act Record Systems in accordance with procedures of the Department and the Office of Management and Budget.

(b) The Food and Drug Administration shall issue a notice, in accordance with paragraph (d) of this section and § 7.20(b), of any change in a Privacy Act Record System which:

- (1) Increases the number or types of individuals about whom records are maintained;
 - (2) Expands the type or amount of information about individuals that is maintained;
 - (3) Increases the number of categories of agencies or other persons who may have access to those records;
 - (4) Alters the manner in which the records are organized so as to change the nature or scope of those records, such as the combining of two or more existing systems;
 - (5) Modifies the way in which the system operates or its location(s) in a manner that alters the process by which individuals can exercise their rights under this part, such as the ways in which they seek access or request amendment of a record; or
 - (6) Changes the equipment configuration on which the system is operated so as to create the potential for greater access, such as adding a telecommunications capability.
- (c) The Food and Drug Administration shall issue a notice of its intention

to establish new Privacy Act Record Systems in accordance with paragraph (d) of this section and § 7.20(b).

(d) Notices under paragraphs (b) and (c) of this section shall be published in the FEDERAL REGISTER for comment at least 30 days prior to implementation of the proposed changes or establishment of new systems. Interested persons shall have the opportunity to submit written data, views, or arguments on such proposed new uses or systems.

Subpart C—Requirements for Specific Categories of Records

§ 7.30 Records of contractors.

(a) Systems of records that are required to be operated, or as a matter of practical necessity must be operated, by contractors to accomplish Food and Drug Administration functions, from which information is retrieved by individual names or other personal identifiers, may be subject to the provisions of this part. If the contract is agreed to on or after September 27, 1975, the criminal penalties set forth in 5 U.S.C. 552a(d) are applicable to such contractor, and any employee of such contractor, for disclosures prohibited in § 7.71 or for maintenance of a system of records without notice as required in § 7.20.

(b) A contract is considered to accomplish a Food and Drug Administration function if the proposal or activity it supports is principally operated on behalf of and is under the direct management of the Food and Drug Administration. Systems of records from which information is retrieved by individual names or other personal identifiers and that are operated under contracts to accomplish Food and Drug Administration functions are deemed to be maintained by the agency and shall be subject to the procedures and requirements of this part.

(c) A contract is not considered to accomplish a Food and Drug Administration function if the program or activity it supports is not principally operated on behalf of, or is not under the direct management of, the Food and Drug Administration. For example, this part does not apply to systems of records:

(1) Operated under contract with the Food and Drug Administration by State or local government agencies, or organizations representing such agencies, when such agencies or organizations are also performing State or local government functions.

(2) Operated by contractors with the Food and Drug Administration by individuals or organizations whose primary function is delivery of health services, such as hospitals, physicians, pharmacists, and other health professionals, and that report information concerning products, e.g., injuries or product defects, to the Food and Drug Administration. Before such contractors submit information to the Food and Drug Administration, the names and other personal identifiers of patients or research subjects in any medical or similar report, test, study, or other research project shall be deleted, unless the contract provides

otherwise. If the Food and Drug Administration subsequently needs the names of such individuals, a separate request will be made.

(3) Relating to individuals whom the contractor employs, or with whom the contractor otherwise deals, in the course of providing goods and services to the Food and Drug Administration.

(4) Operated under grants.

(d) The requirements of this part shall apply when a contractor who operates a system of records not subject to this part reports to the Food and Drug Administration information that is a system of records about individuals from which personal information is retrieved by names or other personal identifiers. Where the information would be a new Privacy Act Record System, or a change in an existing Privacy Act Record System of a type described in § 7.21, the Food and Drug Administration shall comply with the requirements of § 7.21.

(e) The Food and Drug Administration will review all contracts before award to determine whether operation of a system from which information is retrieved by individual names or other personal identifiers will be required of the contractor, by the terms of the contract or as a matter of practical necessity. If such operation will be required, the solicitation and contract shall include the following clause, or a clause of similar effect:

Whenever the contractor or any of his employees is required by this contract to operate a system of records from which information is retrieved by individual names or other personal identifiers in order to accomplish a Food and Drug Administration function, the contractor and every employee is considered to be an employee of the Food and Drug Administration and shall operate such system of records in accordance with the Privacy Act of 1974 (5 U.S.C. 552a), regulations of the Food and Drug Administration in 21 CFR Part 7, and rules of conduct that apply to Food and Drug Administration employees who work with such systems of records. The contractor and his employees are subject to the criminal penalties set forth in 5 U.S.C. 552a(f) for violations of the Privacy Act.

§ 7.31 Records stored by the General Services Administration and archival records.

(a) Food and Drug Administration records that are stored, processed, and serviced by the General Services Administration in accordance with 44 U.S.C. 3103 shall be considered to be maintained by the Food and Drug Administration. The General Services Administration shall not disclose the record except to authorized Food and Drug Administration employees.

(b) Each Food and Drug Administration record pertaining to an identifiable individual that was transferred to the National Archives of the United States as a record determined by the National Archives to have sufficient historical or other value to warrant its continued preservation shall be considered to be maintained by the National Archives and shall not be subject to the provisions of this part.

§ 7.32 Personnel records.

(a) Present and former Food and Drug Administration employees desiring access to personnel records about themselves should consult system notices applicable to the agency's personnel records that are published by the Civil Service Commission and the Department as well as any notice issued by the Food and Drug Administration.

(b) (1) The procedures of the Civil Service Commission at 5 CFR Parts 293, 294, and 297, rather than the procedures in § 7.33 and Subparts D through F of this part, govern systems of personnel records about Food and Drug Administration employees that are subject to notices published by the Commission, i.e., systems that:

(i) The Commission maintains.
(ii) Are maintained by the Division of Personnel Management, Food and Drug Administration.
(iii) Are maintained by Department Regional Offices, concerning field employees.

(2) The Commission's procedures may, if necessary, be supplemented in the Food and Drug Administration Staff Manual Guide. Current Food and Drug Administration employees should mail or deliver written requests under the Privacy Act for access to personnel records described in this paragraph to the Commission in accordance with 5 CFR 297.106, the Director, Division of Personnel Management (HFA-400), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20852, or the personnel officer in the servicing HEW Regional Personnel Office. An employee may consult with or direct his request to the FDA Privacy Coordinator (HFC-18). Requests for access to personnel records of former employees that are located in Federal records centers should be directed to the Commission. Requests under the Privacy Act for amendment of personnel records should be directed to these same officials who are responsible for access to personnel records under this paragraph.

(3) With respect to records subject to paragraph (b) (1) of this section:

(i) Refusal to grant access to a record or refusal to amend a record upon request of an employee, shall only be made by the Associate Commissioner for Administration or his designate; and

(ii) Appeals of refusals under paragraph (b) (3) (i) of this section may be made to the Civil Service Commission in accordance with 5 CFR 297.108(g) (3) and 297.113(b).

(c) Any other Privacy Act Record Systems that contain personnel records, or records that otherwise concern agency employees, that are maintained by offices of the Food and Drug Administration rather than the Division of Personnel Management but which are not subject to the Department's notice for personnel records in operating offices are subject to this part, except that refusals under this part to grant access to or amend records about present or former employees shall be made by the Associate Commissioner for Administration rather than the Associate Commissioner for Compliance.

(d) The following procedures shall govern requests under the Privacy Act for personnel records that are maintained by the operating offices of the Food and Drug Administration in which employees work:

(1) An employee shall upon request be told whether records about him are maintained. An employee shall be given access to records about himself that are subject to this paragraph in response to an oral or written request and through informal procedures, rather than the procedures specified in §§ 7.40 through 7.43.

(2) Employee identity may be verified, if necessary, by an FDA ID card rather than in accordance with § 7.44.

(3) Generally no fee shall be charged for records requested under this paragraph. However, in cases where the records requested are voluminous, a fee may be charged in accordance with § 7.45.

(4) Records that are subject to this paragraph shall be available for access to an individual, except to the extent that access is refused by the Associate Commissioner for Administration or his designate on the ground that the record is subject to an exemption under § 7.61 or 5 CFR 297.111.

(5) Requests under the Privacy Act for amendment of records subject to this paragraph should be directed to the Director, Division of Personnel Management (HFA-400). Such requests shall be reviewed in accordance with Subpart E of this part. Refusal to amend a record subject to this paragraph (d) (5) shall only be made by the Associate Commissioner for Administration or his designate.

(6) Appeals of refusals under paragraph (d) (4) or (5) of this section may be made to the Commissioner of Food and Drugs, except where the Associate Commissioner for Administration or his designate indicates with his refusal that the appeal should be made to the Civil Service Commission.

(7) Disclosures of records subject to this paragraph are subject to Subpart G of this part.

§ 7.33 Medical records.

(a) In general, an individual is entitled to have access to any medical records about himself in Privacy Act Record Systems maintained by the Food and Drug Administration.

(b) The Food and Drug Administration may apply the following special procedures in disclosing medical records to an individual:

(1) The agency may review the records to determine whether disclosure of the record to the individual who is the subject of the records might have an adverse effect on him. If it is determined that disclosure is not likely to have an adverse effect on the individual, the record shall be disclosed to him. If it is determined that disclosure is very likely to have an adverse effect on the individual, he may be requested to designate, in writing, a representative to whom the record shall be disclosed. Such representative may be a physician, other health professional, or other responsible

person who would be willing to review the record and discuss it with the individual.

(2) The availability of the record may be subject to any procedures for disclosure to an individual of medical records about himself under part 4 of this chapter, in addition to or in lieu of the procedures in paragraph (b) (1), that are not inconsistent with § 7.41 (f).

Subpart D—Procedures for Notification of and Access to Records in Privacy Act Record Systems

§ 7.40 Procedures for submitting requests for notification and access.

(a) An individual may request that the Food and Drug Administration notify him whether a Privacy Act Record System contains records about him that are retrieved by reference to his name or other personal identifier. An individual may at the same time, or after receiving notification that such a record about him exists, request that he be given access to the record.

(b) An individual desiring notification or access to records shall mail or deliver a request for records in any Food and Drug Administration Privacy Act Record System to the FDA Privacy Coordinator (HFC-18), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20852.

(c) Requests shall be in writing and shall name the Privacy Act Record System or Systems concerning which the individual requests notification of whether there are records about him that are retrieved by reference to his name or other personal identifier. To help assure a prompt response, an individual should indicate that he is making a "Privacy Act Request" on the envelope and in a prominent manner in the letter.

(d) An individual who merely wishes to be notified whether a Privacy Act Record System contains a record about him ordinarily need not provide any verification of his identity other than his name. The mere fact that the Food and Drug Administration has a record about an individual in any of its Privacy Act Record Systems would not be likely to constitute a clearly unwarranted invasion of personal privacy. Where mere disclosure of the fact that a record about the individual exists would be a clearly unwarranted invasion of personal privacy, further verification of the identity of the individual shall be required.

(e) An individual who requests that he be given access to a copy of records about himself, if any exist, should indicate whether he prefers (1) to have copies of any such records mailed to him in accordance with § 7.43(a) (1), which may involve a fee under § 7.45, including information to verify his identity under § 7.44 or (2) to use the procedures for access in person under § 7.43(a) (2).

(f) A request for notification and access may be submitted under this subpart concerning any Privacy Act Record System that is exempt under § 7.61, as indicated in the notice for the system. An individual seeking access to records under § 7.65(b) (2) to investigatory records compiled for law enforcement pur-

poses other than criminal law enforcement purposes should submit a description of the right benefit, or privilege that he believes he was denied as the result of the Food and Drug Administration's maintenance of the records. Where the system is exempt under § 7.61, and access to the requested records is not granted under § 7.65, the request shall be handled under the provisions of Part 4 of this chapter (the public information regulations).

(g) The Public Records and Documents Center shall maintain and make available copies of the forms (OP-203, Privacy Act Request forms) to assist individuals in filing requests under § 7.40.

§ 7.41 Processing of requests.

(a) An individual or his guardian under § 7.75 shall not be required to show any justification or need to obtain notification under § 7.42 or access to a record under § 7.43.

(b) The Food and Drug Administration will determine whether a request by an individual for records about himself is appropriately treated as a request under this subpart, or under the provisions of Part 4 of this chapter (the public information regulations), or both. Where appropriate, the Food and Drug Administration will consult with the individual concerning the appropriate treatment of the request.

(c) The FDA Privacy Coordinator (HFC-18) in the Public Records and Documents Center shall be responsible for the handling of Privacy Act requests received by the Food and Drug Administration. Requests mailed or delivered to any other office shall be promptly redirected to the FDA Privacy Coordinator. Where this procedure would unduly delay the agency's response, however, the agency employee who received the request should consult with the FDA Privacy Coordinator and obtain advice as to whether the employee can respond to the request directly.

(d) Upon receipt of a request by the FDA Privacy Coordinator, a record shall promptly be made that a request has been received and the date.

(e) A letter in accordance with § 7.42 responding to the request for notification shall issue as promptly as possible after receipt of the request by the Food and Drug Administration. Upon determination by the Public Record and Documents Center that a request for access to records is appropriately treated as a request under Part 4 rather than Part 7, or under both parts, the time limitations prescribed in § 4.41 of this chapter shall apply. In any case, access to available records shall be provided as promptly as possible.

(f) Except as provided in § 7.32, an individual's access to records about himself that are retrieved by his name or other personal identifiers and contained in any Privacy Act Record System may only be denied by the Associate Commissioner for Compliance or his designate. An individual shall not be denied access to any record that is otherwise available to him under this part except on the grounds that it is exempt under § 7.61

and not required to be disclosed under § 7.65(a)(2), that it was compiled in reasonable anticipation of court litigation of formal administrative proceedings, or to the extent that it is exempt or prohibited from disclosure because it includes a trade secret or commercial or financial information that is privileged or confidential information the disclosure of which would constitute a clearly unwarranted invasion of the personal privacy of another individual.

(g) The FDA Privacy Coordinator shall assure that records are maintained of the number, status, and disposition of requests under this subpart, including the number of requests for records exempt from access under this subpart and other information required for purposes of the annual report to Congress under the Privacy Act. These temporary administrative management records shall not be considered to be Privacy Act Record Systems. All records required to be kept under this paragraph shall only include requesting individuals' names or personal identifiers for so long as any request for notification, access, or amendment is pending. The identity of individuals making requests under this subpart shall be regarded as confidential and shall not be disclosed under Part 4 of this chapter (the public information regulations) to any other person or agency except as is necessary for the processing of requests under this subpart.

§ 7.42 Responses to requests.

(a) The FDA shall respond to an individual's request for notification as to whether a Privacy Act Record System contains records about him that are retrieved by his name or other personal identifier by sending a letter under this paragraph.

(1) If there are no records about the individual that are retrieved by his name or other personal identifier in the named Privacy Act Record System, or the requester is not an "individual" under § 7.3(a), the letter shall so state. Where appropriate, the letter shall indicate that the Food and Drug Administration's public information regulations in Part 4 of this chapter prescribe general rules governing the availability of information to members of the public, and that a request may be made in accordance with Part 4 of this chapter for records that are not retrieved by the requester's name or other personal identifier from a Privacy Act Record System.

(2) If there are records about the individual that are retrieved by his name or other personal identifier and the named Privacy Act Record System is not exempt from individual access and contest under § 7.61, or the system is exempt but access is allowed or required under § 7.65, the letter shall inform him that the records exist and shall either:

(i) Enclose a copy of the records under § 7.43(a)(1) or indicate that the records will be sent under separate cover, where there has been adequate verification of the identity of the individual under § 7.44 and the fees under § 7.45 do not exceed \$25, or

(ii) Inform the individual of the procedures to obtain access to the records by mail or in person under § 7.43(a)(2), as well as the approximate dates by which the requested records can be provided (if the records are not then available), the locations at which access in person may be had, and the information needed, if any, to verify the identity of the individual under § 7.44.

(3) If the named Privacy Act Record System contains records about the individual that are retrieved by his name or other personal identifier, and the system is exempt from individual access and contest under § 7.61 and access is not allowed or required under § 7.65, the letter should inform him that the records are exempted from access and contest by § 7.61. The letter shall also inform him if the records sought are not available because they were compiled in reasonable anticipation of court litigation or formal administrative proceedings or are otherwise not available under § 7.41(b). Where appropriate, the letter shall also indicate whether the records are available under Part 4 of this chapter (the public information regulations), and it may disclose the records in accordance with Part 4.

(4) If the named Privacy Act Record System contains records about the individual that are retrieved by his name or other personal identifier, but a final determination has not yet been made with respect to disclosure of all of the records covered by the request, e.g., because it is necessary to consult another person or agency having an interest in the confidentiality of the records, the letter shall explain the circumstances and indicate when a final answer will be given.

(b) Except as provided in § 7.32, access to a record may only be denied by the Associate Commissioner for Compliance or his designate. If access to any record is denied, wholly or in substantial part, the letter shall state the right of the individual to appeal to the Commissioner of Food and Drugs.

(c) If a request for a copy of the records will result in a fee of more than \$25, the letter shall specify or estimate the fee involved. Where the individual has requested a copy of any records about him and copying the records would result in a fee of over \$50, the Food and Drug Administration shall require advance deposit as well as payment of any amount not yet received as a result of any previous request by the individual for a record about himself, under this subpart or Part 4 of this chapter (the public information regulations) before the records are made available. If the fee is less than \$50, prepayment shall not be required unless payment has not yet been received for records disclosed as a result of a previous request by the individual for a record about himself under this subpart or Part 4 of this chapter.

§ 7.43 Access to requested records.

(a) Access may be granted to requested records by:

(1) Mailing a copy of the records to the requesting individual, or

(2) Permitting the requesting individual to review the record in person between 8 a.m. and 4:30 p.m. at the office of the FDA Privacy Coordinator, at the Public Records and Documents Center at the address shown in § 4.30 of this chapter, or at any Food and Drug Administration field office listed in § 2.175 of this chapter, or at another location or time upon which the Food and Drug Administration and the individual agree. Arrangements for such review can be made by consultation between the FDA Privacy Coordinator and the individual. An individual seeking to review records in person shall generally be permitted access to the file copy, except that where the records include nondisclosable information, a copy shall be made of that portion of the records, with the nondisclosable information blocked out. Where the individual is not given a copy of the record to retain, no charge shall be made for the costs of copying a record to make it available to an individual who reviews a record in person under this paragraph.

(b) An individual may request that a record be disclosed to or discussed in the presence of another individual, such as an attorney. The individual may be required to furnish a written statement authorizing the disclosure or discussion in such other individual's presence.

(c) The Food and Drug Administration will make every reasonable effort to assure that records made available under this section can be understood by the individual, such as by providing an oral or written explanation of the records.

§ 7.44 Verification of identity.

(a) An individual seeking access to records in a Privacy Act Record System may be required to comply with reasonable requirements to enable the Food and Drug Administration to determine his identity. The identification required shall be suitable considering the nature of the records sought. No identification shall be required to receive access to information that is required to be disclosed to any member of the public under Part 4 of this chapter (the public information regulations).

(b) An individual who appears in person for access to records about himself shall be required to provide at least one document to identify himself, e.g., driver's license, passport, or alien or voter registration card to verify his identity. If an individual does not have any such document or requests access to records about himself without appearing in person under circumstances in which his identity cannot be verified from the request itself, he shall be required to certify in writing that he is the individual he claims to be and that he understands that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense subject to a \$5,000 fine.

(c) In making requests under § 7.75, a parent of a minor child or legal guardian of an incompetent individual may be required to verify his relationship to the minor child or the incompetent individual, in addition to verifying his own

identity, by providing a copy of the minor's birth certificate, a court order, or other evidence of guardianship.

(d) Where an individual seeks access to particularly sensitive records, such as medical records, the individual may be required to provide additional information beyond that specified in paragraph (b) or (c) of this section, such as the individual's years of attendance at a particular educational institution, rank attained in the uniformed services, date or place of birth, names of parents, an occupation, or the specific times the individual received medical treatment.

§ 7.45 Fees.

(a) Where applicable, fees for copying records shall be charged in accordance with the schedule set forth in this section. Fees may only be charged where an individual has requested that a copy be made of a record to which he is granted access. No fee may be charged for making a search of a Privacy Act Record System whether the search is manual, mechanical, or electronic. Where a copy of the record must be made to provide access to the record, e.g., computer printout where no screen reading is available, the copy shall be made available to the individual without cost. Where a medical record is made available to a representative designated by the individual under § 7.33, no fee will be charged.

(b) The fee schedule is as follows:

(1) Copying of records susceptible to photocopying—\$.10 per page.

(2) Copying of records not susceptible to photocopying, e.g., punch cards or magnetic tapes—at actual cost to be determined on a case-by-case basis.

(3) No charge will be made if the total amount of copying for an individual does not exceed \$25.

(c) When a fee is to be assessed, the individual shall be notified prior to the processing of the copies, and be given an opportunity to amend his request. Payment shall be made by check or money order made payable to the "Food and Drug Administration," and shall be sent to the Accounting Operations Branch (HFA-210), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20852. Advance deposit shall be required where the total amount exceeds \$50.

Subpart E—Procedures for Requests for Amendment of Records

§ 7.50 Procedures for submitting requests for amendment of records.

(a) An individual who received access to a record about himself under Subpart D of this part may request that the record be amended if he believes that the record or an item of information is not accurate, relevant to a Food and Drug Administration purpose, timely, or complete.

(b) Amendments under this subpart shall not violate existing statute, regulation, or administrative procedure.

(1) This subpart does not permit alteration of evidence presented in the course of judicial proceedings or Food and Drug Administration adjudicatory or rule making proceedings or collateral

attack upon that which has already been the subject of any such proceedings.

(2) If the accuracy, relevancy, timeliness, or completeness of the records may be contested in any other pending or imminent agency proceeding, the Food and Drug Administration may refer the individual to the other proceeding as the appropriate means to obtain relief. If the accuracy, relevance, timeliness, or completeness of a record is, or has been, an issue in another agency proceeding, the request under this section shall be disposed of in accordance with the decision in the other proceeding, absent unusual circumstances.

(c) Requests to amend records shall be submitted, in writing, to the FDA Privacy Coordinator in accordance with § 7.40(b). Such requests shall include information sufficient to enable the Food and Drug Administration to locate the record, a brief description of the items of information requested to be amended, and the reasons why the record should be amended together with any appropriate documentation or arguments in support of the requested amendment. An edited copy of the record showing the described amendment may be included. Verification of identity should be provided in accordance with § 7.44.

(d) Written acknowledgement of the receipt of a request to amend a record shall be provided within 10 working days to the individual who requested the amendment. Such acknowledgement may request any additional information needed to verify identity or make a determination. No acknowledgement need be made if the request can be reviewed, processed, and the individual notified of the agency's agreement with the request or refusal within the 10-day period.

§ 7.51 Responses to requests for amendment of records.

(a) The Food and Drug Administration shall take one of the following actions on a request for amendment of records as promptly as possible:

(1) Amend any portion of the record which the agency has determined, based upon a preponderance of the evidence, is not accurate, relevant to a Food and Drug Administration purpose, timely, or complete, and, in accordance with paragraph (d) (3) of this section, inform the individual and previous recipients of the record that has been amended of the amendment.

(2) Inform the individual of its refusal to amend any portion of the record in the manner requested, the reason for the refusal, and the opportunity for administrative appeal to the Commissioner of Food and Drugs. Except as provided in § 7.32, such refusal may only be issued by the Associate Commissioner for Compliance or his designee.

(3) Where another agency was the source of and has control of the record, refer the request to that agency.

(b) The agency may, for good cause, extend the period for taking action an additional 30 working days if notice is provided to the individual explaining the circumstances of the delay.

(c) The officials charged with reviewing a record to determine how to respond to a request to amend it, shall assess its accuracy, relevance to a Food and Drug Administration purpose, timeliness, or completeness. The determination shall be made in the light of the purpose for which the records or system is used, the agency's need for the record, and the possible adverse consequences to the individual from the record if not amended. Whenever the Food and Drug Administration receives a request for deletion of a record, or portions of a record, it shall consider anew whether the contested information in the record is relevant and necessary to a Food and Drug Administration purpose.

(d) If the Food and Drug Administration agrees with an individual's request, it shall take the following actions:

(1) So inform the individual in writing.

(2) In accordance with statute, regulation, or procedure, amend the record to make it accurate, relevant to a Food and Drug Administration purpose, timely, or complete, making note of the date and fact of the amendment.

(3) If an accounting was made under § 7.71(d) of a disclosure of the record under § 7.71(a), provide a copy of the record as amended to all previous recipients of the record.

§ 7.52 Administrative appeals of refusals to amend records.

(a) If an individual disagrees with a refusal under § 7.51(a) (2) to amend a record, he may appeal that refusal to the Commissioner of Food and Drugs, Rm. 14-81, 5600 Fishers Lane, Rockville, MD 20852.

(b) If, upon appeal, the Commissioner upholds the refusal to amend the record as requested, he shall inform the individual:

(1) Of his decision and the reasons for it.

(2) Of the individual's right to file with the Food and Drug Administration a concise statement of the individual's reasons for disagreeing with the agency's decision not to amend the record as requested.

(3) That the statement of disagreement will be made available to all persons listed in an accounting as having previously received the record and any person to whom the record is subsequently disclosed together with, in the discretion of the Food and Drug Administration, a brief statement summarizing its reasons for refusing to amend the record. Any individual who includes false information in the statement of disagreement filed with the Food and Drug Administration may be subject to penalties under 18 U.S.C. 1001, the False Reports to the Government Act.

(4) That the individual has a right to seek judicial review of the refusal to amend the record.

(c) If the Commissioner on administrative appeal or a court on judicial review determines that the record should be amended in accordance with the individual's request, the Food and Drug

Administration shall proceed in accordance with § 7.51(d).

(d) A final determination on the individual's administrative appeal of the initial refusal to amend the record shall be concluded within 30 working days of the request for such review under paragraph (a) of this section, unless the Commissioner extends such period for good cause and informs the individual in writing of the reasons for the delay and of the approximate date on which a decision of the appeal can be expected.

§ 7.53 Notation and disclosure of disputed records.

When an individual has filed a statement of disagreement under § 7.52(b) (2), the Food and Drug Administration shall:

(a) Mark any portion of the record that is disputed to assure that the record will clearly show that portion is disputed whenever the record is disclosed.

(b) In any subsequent disclosure under § 7.70 or § 7.71(a), provide a copy of the statement of disagreement and, if the Food and Drug Administration deems it appropriate, a concise statement of the agency's reasons for not making the amendment(s) requested. While the individual shall have access to any such statement, it shall not be subject to a request for amendment under § 7.50.

(c) If an accounting was made under § 7.71 (d) and (e) of a disclosure of the record under § 7.71(a), provide to all previous recipients of the record a copy of the statement of disagreement and the agency statement, if any.

§ 7.54 Amended or disputed records received from other agencies.

Whenever the Food and Drug Administration is notified that a record that it received from another agency was amended or is the subject of a statement of disagreement, the Food and Drug Administration shall:

(a) Discard the record, or clearly note the amendment or the fact of disagreement in its copy of the record, and

(b) Refer persons who subsequently request the record to the agency that provided it.

(c) If an accounting was made under § 7.71 (d) and (e) of the disclosure of the record under § 7.71(a), inform all previous recipients of the record about the amendment or provide to them the statement of disagreement and the agency statement, if any.

Subpart F—Exemptions

§ 7.60 Policy.

It is the policy of the Food and Drug Administration that record systems should be exempted from the Privacy Act only to the extent essential to the performance of law enforcement functions under the laws that are administered and enforced by the Food and Drug Administration or that govern the agency.

§ 7.61 Exempt systems.

(a) Investigatory records compiled for law enforcement purposes, including

criminal law enforcement purposes, in the Food and Drug Administration Privacy Act Record Systems listed in paragraph (b) of this section are exempt from the following provisions of the Privacy Act (5 U.S.C. 552a) and of this part:

(1) Such records are exempt from 5 U.S.C. 552a(c) (3) and § 7.71(e) (4), requiring that an individual be provided with the accounting of disclosures of records about himself from a Privacy Act Record System.

(2) Except where access is required under 5 U.S.C. 552a(k) (2) and § 7.65 (a) (2), (such records are exempt from 5 U.S.C. 552a (d) (1) through (4) and (f) and §§ 7.40 through 7.54, requiring procedures for an individual to be given notification of and access to records about himself in a Privacy Act Record System and to be allowed to challenge the accuracy, relevance, timeliness, and completeness of such records.

(3) Such records are exempt from 5 U.S.C. 552a(e) (4) (G) and (H) and § 7.20(b) (10) requiring inclusion in the notice for the system of information about agency procedures for notification, access, and contest.

(4) Such records are exempt from 5 U.S.C. 552a(e) (3) requiring that individuals asked to supply information be provided a form outlining the authority for the request, the purposes for which the information will be used, the routine uses in the notice for the Privacy Act Record System, and the consequences to the individual of not providing the information, but only with respect to records compiled by the Food and Drug Administration in a criminal law enforcement investigation where the conduct of the investigation would be prejudiced by such procedures.

(b) Records in the following Food and Drug Administration Privacy Act Record Systems that concern individuals who are subject to Food and Drug Administration enforcement action and consist of investigatory records compiled for law enforcement purposes, including criminal law enforcement purposes, are exempt under 5 U.S.C. 552a (j) (2) and (k) (2) from the provisions enumerated in paragraph (a) of this section:

(1) Clinical Investigator Records, FDA-3.

(2) Regulated Industry Employee Enforcement Records, FDA-10.

(3) Employee Conduct Investigative Records, FDA-13.

(4) Service Contractor Employees Investigative Records, FDA-14.

(c) The systems described in paragraph (b) (3) and (4) of this section include investigatory records compiled solely for the purpose of determining suitability, eligibility, or qualification for Federal civilian employment, military service, Federal contracts, and access to classified information. These records are exempt from disclosure under 5 U.S.C. 552a(k) (5) to the extent that the disclosure would reveal the identity of a source who furnished information to the Government under a promise of confidentiality, which must be an express promise if the information was furnished after September 27, 1975. Any individual

who is refused access to a record that would reveal a confidential source shall be advised in a general way that the record includes information that would reveal a confidential source.

§ 7.65 Access to records in exempt systems.

(a) Where a Privacy Act Record System is exempt and the requested records are unavailable under § 7.61, an individual may nevertheless make a request under § 7.40 for notification concerning whether any records about him exist and request access to such records where they are retrieved by his name or other personal identifier.

(b) An individual making a request under paragraph (a) of this section:

(1) May be given access to the records where available under Part 4 of this chapter (the public information regulations) or the Commissioner may, in his discretion, entertain a request under any or all of the provisions of §§ 7.40 through 7.54; and

(2) Shall be given access upon request if the records requested are subject to 5 U.S.C. 552a(k) (2) and not to 5 U.S.C. 552a(j) (2) (i.e., because they consist of investigatory material compiled for law enforcement purposes other than criminal law enforcement purposes) and maintenance of the records resulted in denial to the individual of any right, benefit, or privilege to which he would otherwise be entitled by Federal law, or for which he would otherwise be eligible. An individual given access to a record under this paragraph (b) (2) is not entitled to seek amendment under Subpart E of this part. The FDA may refuse to disclose a record that would reveal the identity of a source who furnished information to the Government under a promise of confidentiality, which must be an express promise if the information was furnished on or after September 27, 1975. Any individual refused access to a record that would reveal a confidential source shall be advised in a general way that the record contains information that would reveal a confidential source.

(c) The Commissioner shall not make available any record that is prohibited from public disclosure under § 4.82(b) of this chapter.

(d) Discretionary disclosure of a record pursuant to paragraph (b) (1) of this section shall not set a precedent for discretionary disclosure of a similar or related record and shall not obligate the Commissioner to exercise his discretion to disclose any other record in a system that is exempt under § 7.61.

Subpart G—Disclosure of Records in Privacy Act Record Systems to Persons Other Than the Subject Individual

§ 7.70 Disclosure and intra-agency use of records in Privacy Act Record Systems; no accounting required.

(a) A record about an individual which is contained in a Privacy Act Record System may be disclosed:

(1) To the individual who is the subject of the record, or his legal guardian under § 7.75;

(2) To a third party pursuant to a written request by, or with the written consent of, the individual to whom the record pertains, or his legal guardian under § 7.75;

(3) To any person:

(i) Where the names and other identifying information are first deleted, and under circumstances in which the recipient is unlikely to know the identity of the subject of the record;

(ii) Where disclosure is required by Part 4 of this chapter (the public information regulations); or

(4) Within the Department of Health, Education, and Welfare to officers and employees who have a need for the record in the performance of their duties in connection with the laws administered and enforced by the Food and Drug Administration or that govern the agency. For purposes of this section, officers or employees of the Department shall include the following categories of individuals, who shall thereafter be subject to the same restrictions with respect to disclosure as any Food and Drug Administration employee: Food and Drug Administration consultants and advisory committees, State and local government employees for use only in their work with the Food and Drug Administration, and contractors and their employees to the extent that the records of such contractors are subject to the requirements of this part under § 7.30.

(b) No accounting is required for any disclosure or use under paragraph (a) of this section.

§ 7.71 Disclosure of records in Privacy Act Record Systems; accounting required.

(a) Except as provided in § 7.70, a record about an individual that is contained in a Privacy Act Record System shall not be disclosed by any method of communication except under any of the following circumstances, which are subject to the limitations of paragraphs (b) and (c) of this section and to the accounting requirement of paragraph (d) of this section:

(1) For a use described as a "routine use" in the notice for the system under § 7.20(b)(5) that is compatible with the purpose for which the record was collected.

(2) To the Bureau of Census for a census, survey, or a related activity pursuant to Title 13 of the United States Code.

(3) To a recipient who has provided advance assurance, pursuant to paragraph (c)(2) of this section that the record will be used solely as a statistical research or reporting record and will not be communicated by the recipient to any other person except in a form that is not individually identifiable.

(4) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation, or to the General Services Administration for evaluation to determine whether the record has such value.

(5) To a Federal, State, or local agency for purposes of a law enforcement

activity that is authorized by law, upon written request by the head of the agency specifying the particular portion of the record that is desired and the law enforcement purpose for which the record is sought. Disclosures under this paragraph are in addition to any disclosures for law enforcement purposes described as a "routine use" in a notice for a Privacy Act Record System.

(6) To a person pursuant to a showing of compelling circumstances affecting the health and safety of an individual, not necessarily the individual to whom the record pertains. Upon such disclosure, the Food and Drug Administration shall mail a notification of the fact of disclosure to the last known address of the individual who is the subject of the record.

(7) To either House of Congress, or to any Subcommittee or Committee thereof, to the extent that the subject matter of the record falls within its jurisdiction.

(8) To the General Accounting Office.

(9) Pursuant to an order of the court of competent jurisdiction. Upon such court-ordered disclosure, the Food and Drug Administration shall make reasonable efforts to notify the individual in accordance with § 4.83(b) of this chapter.

(b) The Food and Drug Administration may in its discretion refuse to make a disclosure permitted under paragraph (a) of this section, if the disclosure would in the judgment of the agency, invade the privacy of the individual or be inconsistent with the purpose for which the information was collected.

(c) The Food and Drug Administration may require any person requesting a disclosure of a record under paragraph (a) of this section to provide:

(1) Information about the purposes to which the disclosed record is to be put, and

(2) A written statement certifying that the record will be used only for the stated purposes and will not be further disclosed without the written permission of the Food and Drug Administration.

Under 5 U.S.C. 552a(i)(3), any person who knowingly or willfully requests or obtains any record concerning an individual from an agency under false pretenses shall be guilty of a misdemeanor and fined not more than \$5,000. Such person may also be subject to prosecution under the False Reports to the Government Act, 18 U.S.C. 1001.

(d) An accounting shall be made, in accordance with paragraph (e) of this section, of any disclosure under paragraph (a) of this section of a record that is not a disclosure under § 7.70.

(e) Where an accounting is required under paragraph (d) of this section, the Food and Drug Administration shall:

(1) Record the name and address of the person or agency to whom the disclosure is made and the date, nature, and purpose of the disclosure. The accounting shall not be considered a Privacy Act Record System.

(2) Retain the accounting for 5 years or for the life of the record, whichever is longer, following the disclosure.

(3) Notify those recipients listed in the accounting of amendments or disputes concerning the records previously disclosed to them pursuant to §§ 7.51(d)(3), 7.53(c), or 7.54(c).

(4) Except when the record is exempt from individual access and contest under § 7.61 or to the extent that the accounting describes a transfer for a law enforcement purpose pursuant to paragraph (a)(5) of this section, make the accounting available to the individual to whom the record pertains, in accordance with procedures of Subpart D of this part.

(f) A single accounting may be used to cover disclosure(s) that consist of a continuing dialogue between two agencies over a prolonged period, such as discussion of an enforcement action between the Food and Drug Administration and the Department of Justice. In such cases, a general notation may be made that, as of a certain date, contact was initiated, to continue until resolution of the matter.

§ 7.72 Individual consent to disclosure of records to other persons.

(a) Individuals may consent to disclosure of records about themselves to other persons in several ways, for example:

(1) An individual may give consent at the time that the information is collected for disclosure for specific purposes or to specific persons.

(2) An individual may give consent for disclosure of his records to a specific person.

(3) An individual may request the Food and Drug Administration to transcribe a specific record for submission to another person.

(b) In each case the consent shall be in writing and shall specify the individual, organizational unit, or class of individuals or organizational units to whom the record may be disclosed, which record may be disclosed, and, if applicable, for what time period. A blanket consent to release all of an individual's records to unspecified individuals or organizational units will not be honored. Verification of the identity of the individual and, where applicable, of the person to whom the record is to be disclosed shall be made in accordance with § 7.44. Consent documents shall be retained for a period of at least 2 years. If such documents are used as a means of accounting for the disclosure, they shall be retained as provided in § 7.71(e)(2).

§ 7.73 Accuracy, completeness, timeliness, and relevance of records disclosed from Privacy Act Record Systems.

(a) The Food and Drug Administration shall make reasonable efforts to assure that a record about an individual in a Privacy Act Record System is accurate, relevant to a Food and Drug Administration purpose, timely, and complete before such record is disclosed under § 7.71.

(b) Paragraph (a) of this section shall not apply to disclosures that are required under Part 4 of this chapter (the public information regulations) or made to other Federal Government departments and

agencies. Where appropriate, the letter disclosing the information shall indicate that the Food and Drug Administration has not reviewed the record to assure that it is accurate, relevant, timely, and complete.

§ 7.74 Providing notice that a record is disputed.

Whenever an individual has filed a statement of disagreement with the Food and Drug Administration concerning a refusal to amend a record under § 7.51 (a) (2) or with another agency that provides the record to the Food and Drug Administration, the Food and Drug Administration shall in any subsequent disclosure under this subpart provide a copy of the statement of disagreement and a concise statement by the agency, if one has been prepared, of the reasons for not making the amendment(s) requested.

§ 7.75 Rights of legal guardians.

For the purposes of this part, the parent of any individual who is a minor or the legal guardian of any individual who has been declared to be incompetent due to physical or mental incapacity or age by a court of competent jurisdiction may act on behalf of the individual.

Effective date. This regulation shall be effective December 2, 1975.

(Sec. 201 et seq., Pub. L. 717, 52 Stat. 1040 et seq. as amended (21 U.S.C. 321 et seq.); sec. 1 et seq., Pub. L. 410, 58 Stat. 682 et seq. as amended (42 U.S.C. 201 et seq.), Pub. L. 90-23, 81 Stat. 54-56 as amended, (5 U.S.C. 552); Pub. L. 93-579, sec. 1 et seq., 88 Stat. 1896 (5 U.S.C. 552a).)

Dated: November 25, 1975.

SAM D. FINE,
Association Commissioner
for Compliance.

[FR Doc. 75-32348 Filed 12-1-75; 8:45 am]

**PART 540—PENICILLIN ANTIBIOTIC
DRUGS FOR ANIMAL USE
Ampicillin Trihydrate Boluses**

The Commissioner of Food and Drugs has evaluated a new animal drug application (55-074V) filed by Beecham-Massengill Pharmaceuticals, Div. of Beecham, Inc., Bristol, TN 37620, proposing safe and effective use of ampicillin trihydrate boluses for the oral treatment of bacterial enteritis (colibacillosis) caused by *E. coli* in nonruminating calves. The application is approved, effective on December 2, 1975.

The Commissioner is amending § 540.107e (21 CFR 540.107e) to reflect this approval and to insert a statement on duration of treatment.

In accordance with § 514.11 (e) (2) (ii) (21 CFR 514.11 (e) (2) (ii)) of the animal drug regulations, a summary of the safety and effectiveness of data and information submitted to support the approval of this application is released publicly. The summary is available for public examination at the office of the Hearing Clerk, Rm. 4-65, 5600 Fishers Lane, Rockville, MD 20852, Monday

through Friday from 9 a.m. to 4 p.m., except on Federal legal holidays.

Therefore, under the Federal Food, Drug, and Cosmetic Act (sec. 512 (i), 82 Stat. 347 (21 U.S.C. 360b (i))) and under authority delegated to the Commissioner (21 CFR 2.120), § 540.107e is amended by revising paragraph (c) to read as follows:

§ 540.107e Ampicillin trihydrate boluses.

(c) **Conditions of marketing—(1) Specifications.** The drug is in bolus form and conforms to the certification requirements of paragraph (a) of this section.

(2) **Related tolerances.** See § 556.40 of this chapter.

(3) **Labeling statements.** (i) For oral use in nonruminating calves only.

(ii) Not for use in other animals which are raised for food production.

(iii) Federal law restricts this drug to use by or on the order of a licensed veterinarian.

(4) **Conditions of use.** (i) **Sponsor.** See No. 000003 in § 510.600 (c) of this chapter.

(A) It is administered orally to nonruminating calves for the treatment of colibacillosis caused by *E. coli*, bacterial enteritis caused by *Salmonella spp.*, and bacterial pneumonia caused by *Pasteurella spp.*

(B) It is administered at a dosage level of 5 milligrams per pounds of body weight twice daily.

(C) Treated calves must not be slaughtered for food during treatment and for 15 days after the last treatment.

(ii) **Sponsor.** See No. 000029 in § 510.600 (c) of this chapter.

(A) It is administered orally to nonruminating calves for the treatment of bacterial enteritis (colibacillosis) caused by *E. coli*.

(B) It is administered at a dosage level of 5 milligrams per pound of body weight twice daily. Treatment should not exceed 4 days.

(C) Treated calves must not be slaughtered for food during treatment and for 7 days after the last treatment.

Effective date. This amendment shall be effective on December 2, 1975.

(Sec. 512 (i), 82 Stat. 347 (21 U.S.C. 360b (i)))

Dated: November 24, 1975.

C. D. VAN HOUWELING,
Director, Bureau of
Veterinary Medicine.

[FR Doc. 75-32349 Filed 12-1-75; 8:45 am]

[Docket No. 75N-0240]

PART 606—CURRENT GOOD MANUFACTURING PRACTICES FOR BLOOD AND BLOOD COMPONENTS

PART 640—ADDITIONAL STANDARDS FOR HUMAN BLOOD AND BLOOD PRODUCTS

Final Regulations for Collection, Processing and Storage

Correction

In FR Loc. 75-31015 appearing at page 53532 in the issue for Tuesday, November

18, 1975, the following corrections should be made:

(1) In the 6th line of numbered paragraph (3) in the third column of page 53532, "(HB,Ag)" should read "(HB,Ag)".

(2) On page 53541 in the table in § 606.60 (b) in the "Frequency" column for Autoclave, "do" should read "Each time of use", and for Serologic rotators the entry should read "Each day of use".

Title 26—Internal Revenue

CHAPTER I—INTERNAL REVENUE SERVICE, DEPARTMENT OF THE TREASURY

[T.D. 7391]

PART 1—INCOME TAX; TAXABLE YEARS BEGINNING AFTER DECEMBER 31, 1953

PART 301—REGULATIONS ON PROCEDURE AND ADMINISTRATION

Credit for Purchase of New Principal Residence

By a notice of proposed rule making appearing in the FEDERAL REGISTER for July 16, 1975 (40 FR 29874), amendments were proposed in order to conform the Income Tax Regulations (26 CFR Part 1) and the Regulations on Procedure and Administration (26 CFR Part 301) to the amendments made to the Internal Revenue Code of 1954 by section 208 of the Tax Reduction Act of 1975 (89 Stat. 32) and by section 401 of the Emergency Compensation and Special Unemployment Assistance Extension Act of 1975 (89 Stat. 243), relating to the tax credit for the purchase of a new principal residence.

Section 208 added section 44 to the Code, which provides a Federal income tax credit for 5 percent of the taxpayer's adjusted basis with respect to the purchase of a new principal residence if certain enumerated conditions are satisfied.

Numerous comments were received on the proposed regulations, and a public hearing was held on October 20, 1975.

Most of the comments related to the rules regarding commencement of construction. Since the statute requires that construction must have begun prior to March 26, 1975, failure to satisfy the requirements with respect to commencement of construction would preclude a residence from being a qualified one for purposes of the credit. Section 1.44-2 (a) as it appears in paragraph 1 of the proposed regulations provides rules with regard to commencement of construction limiting such commencement to cases where there is actual physical work of a significant amount on the building site of the residence. Land preparation and improvements such as clearing and grading (excavation or filling), construction of roads and sidewalks, and installation of sewers and utilities are not considered commencement of construction of the residence even though they might involve a significant expenditure. On the other hand, driving pilings for the foundation, digging of the footings, excavation of the building foundation or pouring of floor slabs constitute a significant amount of construction of the residence.

The positions taken in the proposed regulations are supported by remarks made by Mr. Ullman, Chairman of the House Ways and Means Committee, in the House debate on the Conference Report with respect to the Tax Reduction Act of 1975 (121 Cong. Rec. 2381 (1975)) evidencing Congressional intent to limit the housing credit to inventory housing and exclude generalized land preparation from constituting construction.

Another method of construction necessitated by different soil conditions or different terrain is the use of earthen pads. While land preparation of a general nature does not constitute commencement of construction, construction of earthen pads when specifically prepared and designed for a particular residential structure and not merely as a part of the overall land preparation satisfies the requirement with regard to commencement of construction. The regulations as they appeared in the appendix to the notice of proposed rule making have, therefore, been amended to make that result clear.

Some comments urged that completely renovated homes should qualify for the credit. However, Mr. Ullman's remarks also made it apparent that that was not the Congressional intent.

Others comments urged such liberalizations as the allowance of the housing credit where there has been a brief occupancy of a residence by someone other than the taxpayer prior to its acquisition by the taxpayer or where the home builders reduced the price of a residence in order to qualify under the original requirement of lowest price and later raised their price to eliminate that reduction. These suggestions have been rejected in view of the clear language in the statute and the statute's legislative history.

The only other changes made in the regulations as proposed are two minor technical corrections.

Adoption of amendments to the regulations.

On July 16, 1975, a notice of proposed rule making was published in the Federal Register (40 F.R. 29874) in order to conform to the Income Tax Regulations (26 CFR Part 1) and the Regulations on Procedure and Administration (26 CFR Part 301) to the amendments made to the Internal Revenue Code of 1954 by section 208 of the Tax Reduction Act of 1975 (89 Stat. 32) and by section 401 of the Emergency Compensation and Special Unemployment Assistance Extension Act of 1975 (89 Stat. 243), relating to the tax credit for the purchase of a new principal residence. After consideration of all relevant matter presented by interested persons regarding the proposed rules, the proposed amendment of the regulations is hereby adopted, subject to the following changes:

Paragraph 1. Section 1.44-2, as set forth in paragraph 1 of the appendix to the notice of proposed rule making, is amended by revising paragraph (a) (1) (i) and by adding new example (3) at the end of paragraph (a) (1) (ii). These revised and added provisions read as follows:

§ 1.44-2 Property to which credit for purchase of new principal residence applies.

(a) Construction. . . .

(1) (i) Except as provided in subparagraph (2) of this paragraph, construction is considered to commence when actual physical work of a significant amount has occurred on the building site of the residence. A significant amount of construction requires more than drilling to determine soil conditions, preparation of an architect's sketches, securing of a building permit, or grading of the land. Land preparation and improvements such as clearing and grading (excavation or filling), construction of roads and sidewalks, and installation of sewers and utilities are not considered commencement of construction of the residence even though they might involve a significant expenditure. However, driving pilings for the foundation, digging of the footings, excavation of the building foundation, pouring of floor slabs, or construction of compacted earthen pads when specifically prepared and designed for a particular residential structure and not merely as a part of the overall land preparation, constitute a significant amount of construction of the residence. In the case of a housing or condominium development construction of recreational facilities no matter how extensive does not by itself constitute commencement of construction of any residential unit. However, where residential units are part of a building structure, as in the case of certain condominium and cooperative housing units, then digging of the footings or excavation of the building foundation constitutes commencement of construction for all units in that building.

(ii)

Example (3). Assume the same facts as in either example (1) or example (2) except that the builder also constructs an earthen pad of compacted fill specifically prepared for a particular residential structure and not merely as a part of the overall land preparation. Construction of the compacted earthen pad is considered in the same light as excavation of the building foundation and accordingly constitutes commencement of construction.

Par. 2. Section 1.44-3, as set forth in paragraph 1 of the appendix to the notice of proposed rule making, is amended by revising paragraph (d) (2) to read as follows:

§ 1.44-3 Certification by seller.

(d) Adjustments in determining lowest price. . . .

(2) Appropriate adjustment to a prior offer to sell shall be made for differences in financing terms and closing costs which increase the seller's actual net proceeds and the purchaser's actual costs. A seller may pass on to the purchaser without affecting the purchase price only those additional amounts he is required to expend in connection with such differences. The seller may not by changing the financing terms or closing costs indirectly increase the purchase price. For these purposes closing costs include all charges paid at settlement for obtaining the mortgage loan and transferring real estate title. Thus, for example, where a seller previously offered a residence for sale for \$40,000 and agreed to pay financing "points" required by the mortgagee, and now offers the same residence also for \$40,000 but requires the purchaser to pay the points, the present offer does not constitute the lowest offer. On the other hand, a prior offer to sell

based upon a large down payment by the prospective purchaser may be adjusted to reflect the additional costs to the seller of accepting a small down payment from the taxpayer. For purposes of determining the seller's net proceeds, proceeds received by all related parties within the meaning of section 318 must be taken into account. For purposes of determining the lowest offer, where an offer provided for a rebate (e.g., of cash or of a contribution toward mortgage payments) or included, without additional charge or at less than fair market value, property not normally included in the sale of a residence (e.g., an automobile), such offer must be reduced by the amount of such rebate or by the amount by which the fair market value of such property at the time of the offer exceeds the amount paid for it by the purchaser. Thus, where a residence was advertised for sale at \$40,000, but the seller agreed to pay \$200 a month on the purchaser's mortgage for 10 months, such residence is considered to have been offered for sale at \$38,000.

Par. 3. Paragraph (c) (3) of § 1.6014-2, as set forth in paragraph 2 of the appendix to the notice of proposed rule making, is amended by revising so much thereof as follows subdivision (v) to read as follows:

§ 1.6014-2 Tax not computed by taxpayer for taxable years beginning after December 31, 1969.

(c) Effects of election. . . .

(3) A taxpayer who makes an election under section 6014 shall not be precluded from claiming—

- (vi) The credit under section 41 (relating to contributions to candidates for public office);
- (vii) The credit under section 42 (relating to personal exemptions);
- (viii) The credit under section 43 (relating to earned income);
- (ix) The credit under section 44 (relating to purchase of new principal residence); or
- (x) The credit under section 45 (relating to overpayments of tax).

(This Treasury decision is issued under the authority contained in sections 44 and 7805 of the Internal Revenue Code of 1954 (89 Stat. 32, 68A Stat. 917; 26 U.S.C. 44, 7805).

DONALD C. ALEXANDER,
Commissioner of Internal Revenue.

Approved:

CHARLES M. WALKER,
Assistant Secretary of the Treasury.

Part 1 of title 26 is amended as follows:

PARAGRAPH 1. There are inserted immediately after § 1.42 the following new sections:

§ 1.44 Statutory provisions; purchase of new principal residence.

Sec. 44. Purchase of new principal residence—(a) General rule. In the case of an individual there is allowed, as a credit against the tax imposed by this chapter for the taxable year, an amount equal to 5 percent of the purchase price of a new principal residence purchased or constructed by the taxpayer.

(b) *Limitations*—(1) *Maximum credit*. The credit allowed under subsection (a) may not exceed \$2,000.

(2) *Limitation to one residence*. The credit under this section shall be allowed with respect to only one residence of the taxpayer.

(3) *Married individuals*. In the case of a husband and wife who file a joint return under section 6013, the amount specified under paragraph (1) shall apply to the joint return. In the case of a married individual filing a separate return, paragraph (1) shall be applied by substituting "\$1,000" for "\$2,000".

(4) *Certain other taxpayers*. In the case of individuals to whom paragraph (3) does not apply who together purchase the same new principal residence for use as their principal residence, the amount of the credit allowed under subsection (a) shall be allocated among such individuals as prescribed by the Secretary or his delegate, but the sum of the amounts allowed to such individuals shall not exceed \$2,000 with respect to that residence.

(5) *Application with other credits*. The credit allowed by subsection (a) shall not exceed the amount of the tax imposed by this chapter for the taxable year, reduced by the sum of the credits allowable under sections 33, 37, 38, 40, 41, and 42.

(c) *Definitions*. For purposes of this section—

(1) *New principal residence*. The term "new principal residence" means a principal residence (within the meaning of section 1034), the original use of which commences with the taxpayer, and includes, without being limited to, a single family structure, a residential unit in a condominium or co-operative housing project, and a mobile home.

(2) *Purchase price*. The term "purchase price" means the adjusted basis of the new principal residence on the date of the acquisition thereof.

(3) *Purchase*. The term "purchase" means any acquisition of property, but only if—

(A) The property is not acquired from a person whose relationship to the person acquiring it would result in the disallowance of losses under section 267 or 707(b) (but, in applying section 267 (b) and (c) for purposes of this section, paragraph (4) of section 267(c) shall be treated as providing that the family of an individual shall include only his spouse, ancestors, and lineal descendants), and

(B) The basis of the property in the hands of the person acquiring it is not determined—

(i) In whole or in part by reference to the adjusted basis of such property in the hands of the person from whom acquired, or

(ii) Under section 1014(a) (relating to property acquired from a decedent).

(d) *Recapture for certain dispositions*—

(1) *In general*. Except as provided in paragraphs (2) and (3), if the taxpayer disposes of property with respect to the purchase of which a credit was allowed under subsection (a) at any time within 36 months after the date on which he acquired it (or, in the case of construction by the taxpayer, on the day on which he first occupied it) as his principal residence, then the tax imposed under this chapter for the taxable year in which terminates the replacement period under paragraph (2) with respect to the disposition is increased by an amount equal to the amount allowed as a credit for the purchase of such property.

(2) *Acquisition of new residence*. If, in connection with a disposition described in paragraph (1) and within the applicable period prescribed in section 1034, the taxpayer purchases or constructs a new principal residence, then the provisions of paragraph (1) shall not apply and the tax im-

posed by this chapter for the taxable year following the taxable year during which disposition occurs is increased by an amount which bears the same ratio to the amount allowed as a credit for the purchase of the old residence as (A) the adjusted sales price of the old residence (within the meaning of section 1034), reduced (but not below zero) by the taxpayer's cost of purchasing the new residence (within the meaning of such section) bears to (B) the adjusted sales price of the old residence.

(3) *Death of owner; casualty loss; involuntary conversion; etc.* The provisions of paragraph (1) do not apply to—

(A) A disposition of a residence made on account of the death of any individual having a legal or equitable interest therein occurring during the 36 month period to which reference is made under such paragraph,

(B) A disposition of the old residence if it is substantially or completely destroyed by a casualty described in section 165(c)(3) or compulsorily and involuntarily converted (within the meaning of section 1033(a)), or

(C) A disposition pursuant to a settlement in a divorce or legal separation proceeding where the other spouse retains the residence as principal residence.

(e) *Property to which section applies*—

(1) *In general*. The provisions of this section apply to a new principal residence—

(A) The construction of which began before March 26, 1975,

(B) Which is acquired and occupied by the taxpayer after March 12, 1975, and before January 1, 1977, and

(C) If not constructed by the taxpayer, which was acquired by the taxpayer under a binding contract entered into by the taxpayer before January 1, 1976.

(2) *Self-constructed property begun before March 13, 1975*. In the case of property the construction of which was begun by the taxpayer before March 13, 1975, only that portion of the basis of such property properly allocable to construction after March 12, 1975, shall be taken into account in determining the amount of the credit allowable under subsection (a).

(3) *Binding contract*. For purposes of this subsection, a contract for the purchase of a residence which is conditioned upon the purchaser's obtaining a loan for the purchase of the residence (including conditions as to the amount or interest rate of such loan) is not considered non-binding on account of that condition.

(4) *Certification must be attached to return*. This section does not apply to any residence (other than a residence constructed by the taxpayer) unless there is attached to the return of tax in which the credit is claimed a written certification (which may be in any form) signed by the seller of such residence that—

(A) Construction of the residence began before March 26, 1975, and

(B) The purchase price of the residence is the lowest price at which the residence was offered for sale after February 28, 1975.

For purposes of this paragraph, a written certification filed by the taxpayer is sufficient whether or not it is on a form prescribed by the Secretary or his delegate so long as such certification is signed by the seller and contains the information required under this paragraph.

(Sec. 44 as added by sec. 208(a), Tax Reduction Act 1975 (89 Stat. 32), and as amended by sec. 401(a), Emergency Compensation and Special Unemployment Assistance Extension Act 1975 (89 Stat. 243))

Sec. 208 (Tax Reduction Act of 1975). . . .

(b) *Suits to recover amounts of price increases*. If—

(1) Any person certifies under section 44(e)(4) of the Internal Revenue Code of 1954 that the price for which a residence was sold is the lowest price at which the residence was offered for sale after February 28, 1975, and

(2) The price for which the residence was sold exceeded the lowest price at which the residence was offered for sale after February 28, 1975,

such person shall be liable to the purchaser of such residence in an amount equal to three times the amount of such excess. The United States district courts shall have jurisdiction of suits to recover such amounts without regard to any other provision of law. In any suit brought under this subsection in which judgment is entered for the purchaser, he shall also be entitled to recover a reasonable attorney's fee.

(c) *Denial of deduction*. Notwithstanding the provisions of section 162 or 212 of the Internal Revenue Code of 1954, no deduction shall be allowed in computing taxable income for two-thirds of any amount paid or incurred on a judgment entered against any person in a suit brought under subsection (b).

(Sec. 208 (b) and (c), Tax Reduction Act 1975 (89 Stat. 35), and as amended by sec. 401(b), Emergency Compensation and Special Unemployment Assistance Extension Act 1975 (89 Stat. 244))

§ 1.44-1 Allowance of credit for purchase of new principal residence after March 12, 1975, and before January 1, 1977.

(a) *General rule*. Section 44 provides a credit against the tax imposed by chapter 1 of the Internal Revenue Code of 1954 in the case of an individual who purchases a new principal residence (as defined in paragraph (a) of § 1.44-5) which is property to which section 44 applies (as provided in § 1.44-2). Subject to the limitations set forth in paragraph (b) of this section, the credit is in an amount equal to 5 percent of the purchase price (as defined in paragraph (b) of § 1.44-5).

(b) *Limitations*—(1) *Maximum credit*. The credit allowed under section 44 and this section may not exceed \$2,000.

(2) *Limitation to one residence*. Such credit shall be allowed with respect to only one residence of the taxpayer; the combined purchase prices of more than one new principal residence cannot be aggregated to increase the credit allowed.

(3) *Married individuals*. In the case of a husband and wife who file a joint return under section 6013, the maximum credit allowed on the joint return is \$2,000. In the case of married individuals filing separate returns the maximum credit allowable to each spouse is \$1,000. Where a husband and wife do not make equal contributions with respect to the purchase price of the new principal residence, allocation of the credit is to be made in proportion to their respective ownership interests in such residence. For this purpose, tenants by the entirety or joint tenants with right of survivorship are treated as equal owners.

(4) *Certain other taxpayers*. Where a new principal residence is purchased by two or more taxpayers (other than a husband and wife), the amount of the credit allowed will be allocated among

the taxpayers in proportion to their respective ownership interests in such residence with the limitation that the sum of the credits allowed to all such taxpayers shall not exceed \$2,000. For this purpose, joint tenants with right of survivorship are treated as equal owners. For an example of the operation of this provision see example (2) of § 1.44-5(b) (2) (ii).

(5) *Application with other credits.* The credit allowed by this section shall not exceed the amount of the tax imposed by chapter 1 of the Code for the taxable year, reduced by the sum of the credits allowable under—

(i) Section 33 (relating to taxes of foreign countries and possessions of the United States),

(ii) Section 37 (relating to retirement income),

(iii) Section 38 (relating to investment in certain depreciable property),

(iv) Section 40 (relating to expenses of work incentive program),

(v) Section 41 (relating to contributions to candidates for public office), and

(vi) Section 42 (relating to personal exemptions).

§ 1.44-2 Property to which credit for purchase of new principal residence applies.

The provisions of section 44 and the regulations thereunder apply to a new principal residence which satisfies the following conditions:

(a) *Construction.* The construction of the residence must have begun before March 23, 1975. For this purpose construction is considered to have commenced in the following circumstances:

(1) (i) Except as provided in subparagraph (2) of this paragraph, construction is considered to commence when actual physical work of a significant amount has occurred on the building site of the residence. A significant amount of construction requires more than drilling to determine soil conditions, preparation of an architect's sketches, securing of a building permit, or grading of the land. Land preparation and improvements such as the clearing and grading (excavation or filling), construction of roads and sidewalks, and installation of sewers and utilities are not considered commencement of construction of the residence even though they might involve a significant expenditure. However, driving pilings for the foundation, digging of the footings, excavation of the building foundation, pouring of floor slabs, or construction of compacted earthen pads when specifically prepared and designed for a particular residential structure and not merely as a part of the overall land preparation, constitute a significant amount of construction of the residence. In the case of a housing or condominium development construction of recreational facilities no matter how extensive does not by itself constitute commencement of construction of any residential unit. However, where residential units are part of a building structure, as in the case of certain condominium and cooperative housing units, then digging

of the footings or excavation of the building foundation constitutes commencement of construction for all units in that building.

(ii) The rules in subdivision (i) of this subparagraph are illustrated by the following examples:

Example (1). A location chosen for a housing development has extremely hilly terrain. In order to make the location suitable for development, the builder moves large amounts of earth and places it elsewhere on the location. In addition, the earth material which has been moved must be compacted according to government specifications in order to provide a stable base. Such activities constitute land preparation and, therefore, do not constitute the commencement of construction.

Example (2). A location chosen for a housing development has swampy and marshy terrain. In order to make the location suitable for development the builder utilizes large quantities of fill. This activity constitutes land preparation and does not constitute commencement of construction.

Example (3). Assume the same facts as in either example (1) or example (2) except that the builder also constructs an earthen pad of compacted fill specifically prepared for a particular residential structure and not merely as a part of the overall land preparation. Construction of the compacted earthen pad is considered in the same light as excavation of the building foundation and accordingly constitutes commencement of construction.

(2) Construction of a factory-made home (as defined in paragraph (e) of § 1.44-5) is considered to have commenced when construction of important parts of the factory-made home has commenced. For this purpose, commencement of construction of important parts means the cutting and shaping or welding of structural components for a specific identifiable factory-made home, whether the work was done by the manufacturer of the home or by a subcontractor thereof.

(b) *Acquisition and occupancy.* The residence must be acquired and occupied by the taxpayer after March 12, 1975, and before January 1, 1977. For this purpose a taxpayer "acquires" a residence when legal title to it is conveyed to him at settlement, or he has possession of it pursuant to a binding purchase contract under which he makes periodic payments until he becomes entitled under the contract to demand conveyance of title. A taxpayer "occupies" a residence when he or his spouse physically occupies it. Thus, for example, moving of furniture or other household effects into the residence or physical occupancy by a dependent child of the taxpayer is not "occupancy" for purposes of this paragraph. The credit may be claimed when both the acquisition and occupancy tests have been satisfied. Thus, where a taxpayer meets the acquisition and occupancy tests set forth above after March 12, 1975, and before January 1, 1976, the credit is allowable for 1975. Where a taxpayer occupied a residence prior to March 13, 1975, without having acquired it (as where his occupancy was pursuant to a leasing arrangement pending settlement under a binding contract to purchase or pursuant to a leasing

arrangement where a written option to purchase was contained in the original lease agreement) he will nonetheless satisfy the acquisition and occupancy tests set forth above if he acquires the residence and continues to occupy it after March 12, 1975, and before January 1, 1977.

(c) *Binding contract.* Except in the case of self-construction, the new principal residence must be acquired by the taxpayer (within the meaning of paragraph (b) of this section) under a binding contract entered into by the taxpayer before January 1, 1976. An otherwise binding contract for the purchase of a residence which is conditioned upon the purchaser's obtaining a loan for the purchase of the residence (including conditions as to the amount or interest rate of such loan) is considered binding notwithstanding that condition.

(d) *Self-constructed residence.* A self-constructed residence (as defined in paragraph (d) of § 1.44-5) must be occupied by the taxpayer before January 1, 1977. Where self-construction of a principal residence was begun before March 13, 1975, only that portion of the basis of the property allocable to construction after March 12, 1975, and before January 1, 1977, shall be taken into consideration in determining the amount of the credit allowable. For this purpose, the portion of the basis attributable to the pre-March 13 period includes the total cost of land acquired (as defined in paragraph (b) of this section) prior to March 13, 1975, on which the new principal residence is constructed and the cost of expenditures with respect to construction work performed prior to March 13, 1975. The costs incurred in stockpiling materials for later stages of construction, however, are not allocated to the pre-March 13 period. Thus, for example, if prior to March 13, 1975, a taxpayer who qualifies for the credit has constructed a portion of a residence at a cost of \$10,000 (including the cost of the land purchased prior to March 13, 1975) and the total cost of the residence is \$40,000 and the taxpayer's basis after the application of section 1034 (e) (relating to the reduction of basis of new principal residence where gain is not recognized upon the sale of the old residence) is \$36,000, the amount subject to the credit will be \$27,000.

\$30,000	
	× \$36,000
\$40,000	

§ 1.44-3 Certificate by seller.

(a) *Requirement of certification by seller.* Taxpayers claiming the credit should attach Form 5405, Credit for Purchase or Construction of New Principal Residence, to their tax returns on which the credit is claimed. Except in the case of self-construction (as defined in § 1.44-5(d)), taxpayers must attach a certification by the seller that construction of the residence began before March 26, 1975, and that the purchase price is the lowest price at which the residence was offered for sale after February 28, 1975. For purposes of section 44(e) (4)

and this section, the term "price" generally does not include costs of acquisition other than the amount of the consideration from the purchaser to the seller. However, for rules relating to adjustments in price due to changes in financing terms and closing costs see paragraph (d) (2) of this section.

(b) *Form of certification.* The following form of the certification statement is suggested:

I certify that the construction of the residence at (specify address) was begun before March 26, 1975, and that this residence has not been offered for sale after February 28, 1975 in a listing, a written private offer, or an offer by means of advertisement at a lower purchase price than (state price), the price at which I sold the residence to (state name, present address, and social security number of purchaser) by contract dated (give date).
(Date, seller's signature and taxpayer identification number.)

However, any written certification filed by the taxpayer will be accepted provided that such certification is signed by the seller and states that construction of the residence began before March 26, 1975, and that the purchase price of the residence is the lowest price at which the residence was offered for sale after February 28, 1975. With regard to factory-made homes the seller, in the absence of his own knowledge as to the commencement of construction, may attach to his own certification a certification from the manufacturer that construction began before March 26, 1975, and may certify based on the manufacturer's certification. It is suggested that both certifications include the serial number, if any, of the residence.

(c) *Offer to sell.* (1) For purposes of section 44(e) (4) and this section, an offer to sell is limited to an offer to sell a specified residence at a specified purchase price.

(2) An "offer" includes any written offer, whether made to a particular purchaser or to the public, and any offer by means of advertising. Advertising includes an offer to sell published by billboards, flyers, brochures, price lists (unless the lists or exclusively for the internal use of the seller and are not made available to the public), mailings, newspapers, periodicals, radio, or television. The listing of a property with a real estate agency, the filing of a prospectus and the registration of construction plans and price lists with the appropriate authorities (in the case of condominiums or cooperative housing developments) are to be considered offers made to the public.

(3) An offer to sell a specified residence includes:

(i) Both an offer to sell an existing residence and an offer to build and sell a residence of substantially the same design or model as that purchased by the taxpayer on the same lot as that on which the taxpayer's new principal residence was constructed. It does not include an offer to sell the same model residence on a different lot. Where a residence of a particular design or model is offered at a specific base price, additions of property to the residence, no

matter how extensive, will not result in the residence being treated as a different residence for the purpose of determining the lowest offer (as defined in paragraph (f) of § 1.44-5).

(ii) In the case of a condominium or cooperative housing development where units are offered for sale on the basis of models (e.g., all Model C two-bedroom apartments sell at a specified base price), an offer to sell a specified residence includes an offer to sell a specific type of unit (with appropriate adjustments to be made for the location of such unit and as provided in paragraph (d) of this section).

(iii) In the case of a factory-made home, an offer to sell a specified residence includes an offer to sell the same model home as that purchased by the taxpayer, provided that the offer is made after the seller has the right to sell the home purchased by the taxpayer (i.e., has that specific home in his inventory). However, it does not include an offer to sell such home with land which is not included in the taxpayer's purchase nor an offer to sell such home without land which is included in the taxpayer's purchase. Appropriate adjustments to a prior offer shall be made as provided in paragraph (d) of this section, including adjustments for any delivery and installation charges as provided in paragraph (d) (3).

(iv) The rules of this subparagraph may be illustrated by the following examples:

Example (1). In March 1975 A advertised colonial-style homes on section I of subdivision C at a base price of \$40,000. At the time none of the homes had been completed but construction of all homes on section I was commenced before March 26, 1975. After one-half of the homes were sold, A offers to sell the remaining homes in May 1975 at a base price of \$45,000. Under the facts above the base price of \$45,000 is not the lowest offer since the seller had offered to sell the same model home on the same lot at a lower purchase price after February 28, 1975.

Example (2). In June 1975 A offers houses, otherwise qualifying, on section II for the first time for a base price of \$50,000. They are colonial homes and substantially the same as the homes he previously offered on section I. Under the facts stated above the base price of \$50,000 is the lowest offer since the same model home on the same lot was not previously offered for sale.

Example (3). In March 1975 B, a condominium developer, offers to sell any two-bedroom unit in a particular high rise condominium of \$45,000 with an added \$5,000 for units with a lake front view and an additional \$2,000 for units on higher floors. With regard to all two-bedroom units in the condominium an offer to sell a specified residence at a specified purchase price has been made. This is true even though at the time of the offer construction had not reached the floor on which the particular unit will be located.

(4) A specified purchase price means a stated definite price for a particular residence or a specific base price for a residence of a particular model or design. An offer to sell for an indefinite price (e.g., an advertisement that all houses sell in the \$40,000's) is not considered an offer to sell at a specified purchase price.

(5) An offer to sell includes an offer to sell subject to special conditions imposed by the seller. Thus, if the lowest price at which a house was advertised was "at \$40,000 for March only", the \$40,000 price would be the lowest offer. However, certain conditions may necessitate adjustments in determining the lowest offer. See paragraph (d) of this section.

(6) An offer to sell two or more residences together as for example, in a bulk sale shall be disregarded, even though each residence is assigned a specific purchase price for the purpose of such a sale. With regard to factory-made homes an offer to sell does not include an offer made by the manufacturer to a dealer in such homes.

(7) (i) Where new residences are purchased at a foreclosure sale (including a conveyance by the owner in lieu of foreclosure) and prior to the foreclosure sale such residences had been offered for sale by the foreclosure seller at specified prices, the foreclosure purchaser is bound by such prices in determining the lowest offer. He is not bound by the prices paid to the foreclosure seller since such prices do not constitute voluntary offers.

(ii) For this purpose, if the foreclosure seller and foreclosure purchaser are not related parties (as defined in subdivision (iii) of this subparagraph), and if the foreclosure purchaser does not have knowledge of the date of commencement of construction and the lowest offer made by such seller with respect to each of the foreclosed residences, the foreclosure purchaser must request and try to obtain from the foreclosure seller a certificate specifying such facts. Upon a subsequent sale of a particular residence by the foreclosure purchaser, he must certify whether the price is the lowest offer for that particular residence based on the certification of the foreclosure seller, a copy of which must be attached to the certification of the foreclosure purchaser. If the foreclosure seller refuses to so certify, the foreclosure purchaser must make a reasonable effort to determine the date construction commenced and the lowest offer made by the foreclosure seller. For this purpose, reasonable effort includes the effort to locate and examine advertising and listings published or used by the foreclosure seller. If the foreclosure seller and foreclosure purchaser are related parties (as defined in subdivision (iii) of this subparagraph), the foreclosure purchaser will be considered as having knowledge of the date of the commencement of construction and the lowest offer made by such seller with respect to each of the foreclosed residences, and, upon a subsequent sale of a particular residence by the foreclosure purchaser, he must comply with the certification requirements prescribed by paragraphs (a) and (b) of this section.

(iii) For purposes of this subparagraph related parties shall include the relationships described in subparagraph (2) of § 1.44-5(c), and the constructive ownership rules of section 318 shall apply, but family members for this purpose shall include spouses, ancestors, and lineal descendants.

(d) *Adjustments in determining lowest price.* (1) (i) In determining whether a residence was sold at the lowest offer appropriate adjustment shall be made for differences in the property offered and in the terms of the sale. Where the sale to the taxpayer includes property which was not the subject of the prior offer or excludes property which was included in the prior offer, the amount of the prior offer shall be adjusted to reflect the fair market value of such property, provided that, in the case of property included in the sale which was not a part of the residence at the time of execution of the contract of purchase, the taxpayer had the option to require inclusion or exclusion of such property. The fair market value of any excluded property is to be determined at the time of the prior offer, while all additions are to be valued at their fair market value on the date of execution of the contract of sale. If a seller increases his present offer to include financing or other costs of the seller in connection with his ownership of the residence, the present offer does not qualify as being the lowest offer.

(ii) The rules in subdivision (i) of this subparagraph are illustrated by the following examples:

Example (1). A offered to sell a new home without a garage for \$35,000. Having found no buyers A added a garage and sold the home for \$40,000. At the time the contract of sale was executed the fair market value of the garage was \$5,000. The offer to sell for \$40,000 qualifies since it equals the seller's lowest offer plus the fair market value of the garage.

Example (2). B, unable to sell colonial-style homes presently under construction and previously offered for sale for \$40,000, makes extensive changes in decor and identifies the homes as his new Williamsburg model. The Williamsburg models are not different residences for purposes of this section. To the extent that the additions have not yet been added at the time of execution of a contract of sale, in order to qualify for the credit the taxpayer must have the option as to whether to include these additions, and if these additions are included B must charge no more than the fair market value of the additions on that date of execution of the contract of sale.

(2) Appropriate adjustment to a prior offer to sell shall be made for differences in financing terms and closing costs which increase the seller's actual net proceeds and the purchaser's actual costs. A seller may pass on to the purchaser without affecting the purchase price only those additional amounts he is required to expend in connection with such differences. The seller may not by changing the financing terms or closing costs indirectly increase the purchase price. For these purposes closing costs include all charges paid at settlement for obtaining the mortgage loan and transferring real estate title. Thus, for example, where a seller previously offered a residence for sale for \$40,000 and agreed to pay financing "points" required by the mortgagee, and now offers the same residence also for \$40,000 but requires the purchaser to pay the points, the present offer does not constitute the lowest offer. On the other hand, a prior

offer to sell based upon a large down payment by the prospective purchaser may be adjusted to reflect the additional costs to the seller of accepting a small down payment from the taxpayer. For purposes of determining the seller's net proceeds, proceeds received by all related parties within the meaning of section 318 must be taken into account. For purposes of determining the lowest offer, where an offer provided for a rebate (e.g., of cash or of a contribution toward mortgage payments) or included, without additional charge or at less than fair market value, property not normally included in the sale of a residence (e.g., an automobile), such offer must be reduced by the amount of such rebate or by the amount by which the fair market value of such property at the time of the offer exceeds the amount paid for it by the purchaser. Thus, where a residence was advertised for sale at \$40,000, but the seller agreed to pay \$200 a month on the purchaser's mortgage for 10 months, such residence is considered to have been offered for sale at \$38,000.

(3) In the case of a factory-made home, where delivery and installation costs are included in the specified base price of such home an appropriate adjustment is to be made in such specified base price for differences in the fair market value of the delivery and installation in determining the lowest offer.

(e) *Civil and criminal penalties.* If a person certifies that the price for which the residence was sold does not exceed the lowest offer and if it is found that the price for which the residence was sold exceeded the lowest offer, then such person is liable (under section 208(b) of the Tax Reduction Act of 1975) to the purchaser for damages in an amount equal to three times the excess of the certified price over the lowest offer plus reasonable attorney's fees. No income tax deduction shall be allowed for two-thirds of any amount paid or incurred pursuant to a judgment entered against any person in a suit based on such liability. However, attorney's fees, court costs, and other such amounts paid or incurred with respect to such suit which meet the requirements of section 162 are deductible under that section. In addition, an individual who falsely certifies may be subject to criminal penalties. For example, section 1001 of title 18 of the United States Code provides as follows:

§ 1001. Statements or entries generally.

Whoever, in any matter within the jurisdiction of any department or agency of the United States knowingly and willfully falsifies, conceals or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statements or representations, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be fined not more than \$10,000 or imprisoned not more than five years, or both.

The treble damages and criminal sanctions provided under this paragraph apply only with regard to false certification as to the lowest offer, not to false certification as to commencement of con-

struction. However, with regard to false certification as to commencement of construction there may exist contractual or tort remedies under State law.

(f) *Denial of credit.* In the absence of the taxpayer's participation in, or knowledge of, a false certification by the seller, the credit is not denied to a taxpayer who otherwise qualifies for the credit solely because the seller has falsely certified that the new principal residence was sold at the lowest offer. However, if certification as to the commencement of construction is false, no credit is allowed since such residence does not qualify as a new principal residence construction of which began before March 26, 1975.

§ 1.44-4 Recapture for certain dispositions.

(a) *In general.* (1) Under section 44 (d) except as provided in paragraphs (b) and (c) of this section, if the taxpayer disposes of property, with respect to the purchase of which a credit was allowed under section 44(a), at any time within 36 months after the date on which he acquired it (or, in the case of construction by the taxpayer, the date on which he first occupied it as his principal residence), then the tax imposed under chapter 1 of the Code for the taxable year in which the replacement period (as provided under subparagraph (2) of this paragraph) terminates is increased by an amount equal to the amount allowed as a credit for the purchase of such property.

(2) The replacement period is the period provided for purchase of a new principal residence under section 1034 of the Code without recognition of gain on the sale of the old residence. In the case of residences sold or exchanged after December 31, 1974, it is generally 18 months in the case of acquisition by purchase and 2 years in the case of construction by the taxpayer provided, however, that such construction has commenced within the 18-month period. Thus, a calendar-year taxpayer who disposes of his old principal residence in December 1975 and does not qualify under paragraph (b) or (c) of this section will include the amount previously allowed as additional tax on his 1977 tax return.

(3) Except as provided in paragraphs (d) and (e) of this section, section 44(d) applies to all dispositions of property, including sales (including foreclosure sales), exchanges (including tax-free exchanges such as those under sections 351, 721, and 1031), and gifts.

(4) In the case of a husband and wife who were allowed a credit under section 44(a) claimed on a joint return, for the purpose of section 44(d) and this section the credit shall be allocated between the spouses in accordance with the provisions of paragraph (b)(3) of § 1.44-1.

(b) *Acquisition of a new residence.* (1) Section 44(d)(1) and paragraph (a) of this section shall not apply to a disposition of property with respect to the purchase of which a credit was allowed under section 44(a) in the case of a taxpayer who purchases or constructs a new principal residence (within the meaning

of § 1.44-5(a)) within the applicable replacement period provided in section 1034. In determining whether a new principal residence qualifies for purposes of this section the rules relating to construction, acquisition, and occupancy under § 1.44-2 do not apply. Where a disposition has occurred and the taxpayer's purchase (or construction) costs of a new principal residence are less than the adjusted sales price (as defined in section 1034(b)) of the old residence, the tax imposed by chapter 1 of the Code for the taxable year following the taxable year during which disposition occurs is increased by an amount which bears the same ratio to the amount allowed as a credit for the purchase of the old residence as (i) the adjusted sales price of the old residence (within the meaning of section 1034), reduced (but not below zero) by the taxpayer's cost of purchasing (or constructing) the new residence (within the meaning of such section) bears to (ii) the adjusted sales price of the old residence.

(2) The rules of subparagraph (1) of this paragraph may be illustrated by the following example:

Example. On July 15, 1975, A purchases a new principal residence for a total purchase price of \$40,000. The property meets the tests of § 1.44-2, and A is allowed a credit of \$2,000 on his 1975 tax return. On January 15, 1977 (within 36 months after acquisition) A sells his residence for an adjusted sales price of \$50,000 and March 15, 1977, purchases a new principal residence at a cost of \$40,000. Since the new principal residence was purchased within the 18-month replacement period (provided in section 1034), the amount recaptured is limited to \$400, determined by multiplying the amount of the credit allowed (\$2,000) by a fraction, the numerator of which is \$10,000 (determined by reducing the adjusted sales price of the old residence (\$50,000) by A's cost of purchasing the new principal residence (\$40,000)) and the denominator of which is \$50,000 (the adjusted sales price). Therefore, A's tax liability for 1978, the year following the taxable year in which the disposition occurred, is increased by \$400.

(c) **Certain involuntary dispositions.** Section 44(d)(1) and paragraph (a) of this section shall not apply to the following:

(1) A disposition of a residence made on account of the death of any individual having a legal or equitable interest therein occurring during the 36-month period described in paragraph (a) of this section.

(2) A disposition of the residence if it is substantially or completely destroyed by a casualty described in section 165(c)(3).

(3) A disposition of the residence if it is compulsorily and involuntarily converted within the meaning of section 1033(a), or

(4) A disposition of the residence pursuant to a settlement in a divorce or legal separation proceeding where the other spouse retains the residence as principal residence (as defined in § 1.44-5(a)).

§ 1.44-5 Definitions.

For purposes of section 44 and the regulations thereunder—

(a) **New principal residence.** The term "new principal residence" means a principal residence, the original use of which commences with the taxpayer. The term "principal residence" has the same meaning as under section 1034 of the Code. For this purpose, the term "residence" includes, without being limited to, a single family structure, a residential unit in a condominium or cooperative housing project, a townhouse, and a factory-made home. In the case of a tenant-stockholder in a cooperative housing corporation references to property used by the taxpayer as his principal residence and references to the residence of a taxpayer shall include stock held by the tenant-stockholder in a cooperative housing project provided, however, that the taxpayer used as his principal residence the house or apartment which he was entitled as such stockholder to occupy. "Original use" of the new principal residence by the taxpayer means that such residence has never been used as a residence prior to its use as such by the taxpayer. For this purpose, a residence will qualify if the first occupancy was by the taxpayer pursuant to a lease arrangement pending settlement under a binding contract to purchase or pursuant to a lease arrangement where a written option to purchase the then existing residence was contained in the original lease agreement.

A renovated building does not qualify as new, regardless of the extent of the renovation nor does a condominium conversion qualify.

(b) **Purchase price—(1) General rule.** For purposes of section 44(a) and § 1.44-1, the term "purchase price" means the adjusted basis of the new principal residence on the date of acquisition and includes all amounts attributable to the acquisition or construction, but only to the extent that such amounts constitute capital expenditures and are not allowable as deductions in computing taxable income. Such capital expenditures include but are not limited to the cost of acquisition or construction, title insurance, attorney's fees, transfer taxes, and other costs of transfer. For these purposes the adjusted basis of a factory-made home includes the cost of moving the home and setting it up as the taxpayer's principal residence only where such cost is included in the base price of the residence; it also includes the purchase price of the land on which the home is located, but only if such land was purchased by the taxpayer after March 12, 1975 and only if the taxpayer acquired the land prior to or in conjunction with the acquisition of such factory-made home. However, the adjusted basis does not include any expenditures involved in connection with the leasing of land on which the factory-made home is located. In the case of factory-made homes the adjusted basis includes furniture only where it is included in the base price of the unit.

(2) **Sale of old principal residence.** (1) The adjusted basis is reduced by any gain from the sale or involuntary conversion of an old principal residence, which is not recognized due to the appli-

cation of section 1033 or section 1034. However, no reduction will be made for any gain excluded from tax by reason of the special treatment provided under the tax laws in the case of a sale by a taxpayer who has attained age 65 (sec. 121 of the code).

(ii) The rules in subdivision (i) of this subparagraph are illustrated by the following examples:

Example (1). A sells an old principal residence for \$30,000 which has an adjusted basis of \$20,000. A reinvests the proceeds by purchasing a new principal residence for \$40,000 (including settlement costs which are capital in nature), and this purchase satisfies the statutory criteria under section 1034 for nonrecognition of gain. The credit under section 44 applies with respect to \$30,000 (\$40,000 costs minus \$10,000 unrecognized gain) of the cost of the new principal residence.

Example (2). B and C, two sisters, purchase a new principal residence as joint tenants with the right of survivorship for a total purchase price of \$40,000. B has previously sold her old principal residence for \$25,000 and a \$10,000 gain on the sale has qualified for nonrecognition under section 1034. B contributes \$25,000 and C contributes \$15,000. The adjusted basis of the new principal residence is \$30,000 representing the total purchase price of \$40,000 less \$10,000 representing unrecognized gain under section 1034. The total credit allowable, therefore, is \$1,500. Since joint tenants are treated as equal owners and since allocation of the credit is made in proportion to the taxpayer's respective ownership interests in such residence B and C each will receive a credit of \$750.

Example (3). Taxpayer D is 65 years old and sells his old principal residence for \$20,000 excluding all gain under section 121. He then purchases a new principal residence for \$30,000. D's adjusted basis in his new principal residence is \$30,000, and he is allowed a credit of \$1,500.

(3) **Tie-in sales.** In the case of a purchase of a new principal residence which is tied in to the transfer of other property by the seller to the purchaser, whether purportedly by sale or gift, the adjusted basis of the residence is reduced by the amount of the excess of the fair market value of such other property received over the amount, if any, purportedly paid for it by the purchaser of the residence. For example, if a taxpayer receives a new car with a fair market value of \$2,500 upon the purchase of a condominium apartment for a total purchase price of \$40,000 (including settlement costs which are capital in nature) his adjusted basis in the residence for computation of the credit is \$37,500.

(4) **Basis of new principal residence.** The taxpayer's basis in his new principal residence is not in any way affected by the allowance of the credit.

(c) **Purchase—(1) General rule.** Except as provided in subparagraph (2) of this paragraph, the term "purchase" means any acquisition of property.

(2) **Exceptions:** (i) An acquisition does not qualify as a purchase for the purpose of this paragraph if the property is acquired from a person whose relationship to the person acquiring it would result in the disallowance of losses under section 267 or 707(b). Such persons include—

(A) The purchaser's spouse, ancestors and lineal descendants,

(B) Related corporations as provided under section 267(b) (2).

(C) Related trusts as provided under section 267(b), (4), (5), (6), and (7).

(D) Related charitable organizations as provided under section 267(b) (9), and

(E) Related partnerships as provided under section 707(b) (1).

For purposes of this subdivision the constructive ownership rules of section 267(c) shall apply except that paragraph (4) of section 267(c) shall be treated as providing that the family of an individual shall include only his spouse, ancestors, and lineal descendants.

(ii) An acquisition does not qualify as a purchase for the purpose of this paragraph if the basis of the property in the hands of the person acquiring such property is determined—

(A) In whole or in part by reference to the adjusted basis of such property in the hands of the person from whom acquired (e.g., a gift under section 1015), or

(B) Under section 1014(a) (relating to property acquired from a decedent).

(d) *Self-construction.* The term "self-construction" means the construction of a residence (other than a factory-made home) to the taxpayer's specifications on land already owned or leased by the taxpayer at the time of commencement of construction. Thus, where a taxpayer purchases land and either builds a residence himself or hires an architect and a contractor to build a residence on that land, the taxpayer has "self-constructed" the residence.

(e) *Factory-made home.* The term "factory-made" homes" includes mobile homes, houseboats and prefabricated and modular homes.

(f) *Lowest offer.* The term "lowest offer" means the lowest price at which the residence was offered for sale after February 28, 1975.

PAR. 2. Paragraph (c) (3) of § 1.6014-2 is amended by revising subdivisions (vi) and (vii) and adding new subdivisions (viii) and (ix), to read as follows:

§ 1.6014-2 Tax not computed by taxpayer for taxable years beginning after December 31, 1969.

(c) *Effects of election.* . . .

(3) A taxpayer who makes an election under section 6014 shall not be precluded from claiming—

(vi) The credit under section 41 (relating to contributions to candidates for public office);

(vii) The credit under section 42 (relating to personal exemptions);

(viii) The credit under section 43 (relating to earned income);

(ix) The credit under section 44 (relating to purchase of new principal residence); or

(x) The credit under section 45 (relating to overpayments of tax).

Part 301 is amended as follows:

PAR. 3. Section 301.6096 is amended by revising subsection (b) and the historical note to read as follows:

§ 301.6096 Statutory provisions; designation by individuals.

SEC. 6096. *Designation by individuals.* . . .

(b) *Income tax liability.* For purposes of subsection (a), the income tax liability of an individual for any taxable year is the amount of the tax imposed by chapter 1 on such individual for such taxable year (as shown on his return), reduced by the sum of the credits (as shown on his return) allowable under sections 33, 37, 38, 40, 41, 42, and 44.

(Sec. 6096 added by sec. 302, Foreign Investors Tax Act 1966 (80 Stat. 1587); amended by sec. 802 (a) and (b) (2), Rev. Act 1971 (85 Stat. 573); sec. 6(a), Act of July 1, 1973 (87 Stat. 135, Pub. Law 93-53); secs. 203(b) (4) and 208(d) (4), Tax Reduction Act 1975 (89 Stat. 30, 32))

PAR. 4. Section 301.6096-1 is amended to read as follows:

§ 301.6096-1 Designation by individuals for taxable years beginning after December 31, 1972.

(b) *Income tax liability.* For purposes of paragraph (a) of this section, the income tax liability of an individual for any taxable year is the amount of the tax imposed by chapter 1 on such individual for such taxable year (as shown on his return), reduced by the sum of the credits (as shown on his return) allowable under sections 33, 37, 38, 40, 41, 42, and 44.

[FR Doc.75-32440 Filed 12-1-75;8:45 am]

Title 27—Alcohol, Tobacco Products and Firearms

CHAPTER I—BUREAU OF ALCOHOL, TOBACCO AND FIREARMS, DEPARTMENT OF THE TREASURY

[T.D. ATF-20]

PART 6—INDUCEMENTS FURNISHED TO RETAILERS

Advertising Specialties Furnished to Retailers

The purpose of this document is to clarify the provisions of 27 CFR 6.28, concerning advertising specialty items furnished to alcoholic beverage retailers by alcoholic beverage industry members.

Treasury decision ATF-15, published in the FEDERAL REGISTER of March 13, 1975 (40 FR 11719), and effective May 1, 1975 increased the limitations for advertising specialties (e.g., trays, coasters, menu cards, etc.) from \$10 to \$20 for distilled spirits and wine. The specialty limitation for malt beverages, however, was not increased due to opposition presented by the United States Brewers Association (USBA). Subsequent to issuance of the revised specialty limitation regulation, the Bureau received several inquiries concerning the intent of the regulation;

i.e. could it be interpreted to allow a total of \$30 per year for a retailer (\$20 for distilled spirits and wine and \$10 for malt beverages). It was the purpose of the regulation to retain the existing specialty limitation for malt beverages (\$10 per retailer per calendar year) and increase the limitation for wine and distilled spirits to \$20, with the restriction that the aggregate cost to any industry member of all specialty items supplied to any one retailer of alcoholic beverages in any one calendar year could not exceed \$20. In order to clarify this restriction, § 6.28 is being amended.

Because the amendment made by this Treasury decision is clarifying in nature and could not operate to the detriment of any taxpayer, it is found that it is unnecessary to issue this Treasury decision with the notice and public procedure thereon under 5 U.S.C. 553(b) or subject to the effective date limitations of 5 U.S.C. 553(d). Accordingly, 27 CFR 6.28, as amended, shall be effective on December 2, 1975, as follows:

§ 6.28 Retailer advertising specialties.

(a) *Specialty advertising items.* Retailer advertising specialty items are items such as trays, coasters, mats, menu cards, meal checks, paper napkins, foam scrapers, back bar mats, thermometers, clocks, and calendars, which bear advertising matter and which are primarily valuable to the retailer as point of sale advertising media.

(b) *Advertising limit—distilled spirits or wine.* Retailer advertising specialties may be furnished, given, or sold to a retailer of distilled spirits or wine if the aggregate cost to any industry member of such items furnished, given, or sold in connection with any one retail establishment in any one calendar year does not exceed \$20.

(c) *Advertising limit—malt beverages.* Retailer advertising specialties may be furnished, given, or sold to a retailer of malt beverages if the aggregate cost to any industry member of such items furnished, given, or sold in connection with any one retail establishment in any one calendar year does not exceed \$10.

(d) *Restriction.* The aggregate cost to any industry member of all retailer advertising specialties supplied to any one retailer of alcoholic beverages in any one calendar year shall not exceed \$20.

(This Treasury decision is issued under the authority contained in 27 U.S.C. 205 (49 Stat. 931).)

Signed: October 20, 1975.

REX D. DAVIS,
Director.

Approved: November 24, 1975.

DAVID R. MACDONALD,
Assistant Secretary of the Treasury.

[FR Doc.75-32350 Filed 12-1-75;8:45 am]

Title 29—Labor

CHAPTER XVII—OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION, DEPARTMENT OF LABOR

PART 1902—APPROVED STATE PLANS FOR ENFORCEMENT OF STATE STANDARDS

Washington Plan; Level of Federal Enforcement; Correction

The document concerning the notice of the level of Federal enforcement under the Washington Plan under Subpart F of Chapter XVII of Title 29 of the Code of Federal Regulations, published in the FEDERAL REGISTER on Thursday, September 25, 1975, at 40 FR 44133, is corrected to include a portion of the first sentence in the amended § 1952.122 that was inadvertently omitted. The first sentence in the amended § 1952.122 is corrected by changing the period at the end of the first sentence to a comma, and adding the following language:

§ 1952.122 [Amended]

*** Discretionary Federal enforcement authority under section 18(e) of the Act (29 U.S.C. 667(e)) will not be initiated with regard to Federal occupational safety and health standards in issues covered under 29 CFR Part 1910 and 29 CFR Part 1926. ***

Signed at Washington, D.C. this 26th day of November 1975.

JOHN T. DUNLOP,
Secretary of Labor.

[FR Doc. 75-32411 Filed 12-1-75; 8:45 am]

Title 40—Protection of Environment

CHAPTER I—ENVIRONMENTAL PROTECTION AGENCY

SUBCHAPTER E—PESTICIDE PROGRAMS

[FRL 463-6]

PART 180—TOLERANCES AND EXEMPTIONS FROM TOLERANCES FOR PESTICIDE CHEMICALS IN OR ON RAW AGRICULTURAL COMMODITIES

Zinc Phosphide

On October 7, 1975, the Environmental Protection Agency published in the FEDERAL REGISTER (40 FR 46322) a notice of proposed rulemaking to amend 40 CFR 180.284 to establish a tolerance for residues of phosphine resulting from the use of the rodenticide zinc phosphide in or on the raw agricultural commodity grapes at 0.01 part per million. Notice of the proposed rulemaking was published in response to a petition (PP 5E1551) submitted by Dr. C. C. Compton, Coordinator, Interregional Research Project No. 4, State Agricultural Experiment Station, Rutgers University, New Brunswick, N.J. 08903.

No comments or requests for referral to an advisory committee were received by the Agency. Therefore, based on the data submitted in the petition and other relevant material it is concluded that the tolerance established by amending 40 CFR 180.284 will protect the public

health and that the proposed regulation should be adopted without change.

Any person adversely affected by this regulation may, on or before January 2, 1976 file written objections with the Hearing Clerk, Environmental Protection Agency, 401 M St. SW, Washington DC 20460. Such objections should be submitted in quintuplicate and specify both the provisions of the regulation deemed to be objectionable and the grounds for the objections. If a hearing is requested, the objections must state the issues for the hearing. A hearing will be granted if the objections are supported by grounds legally sufficient to justify the relief sought.

Dated: November 25, 1975.

EDWIN L. JOHNSON,
Deputy Assistant Administrator
for Pesticide Programs.

Section 180.284, Subpart C, Part 180, is amended by including a tolerance for grapes in the paragraph "0.01 part per million ***"

§ 180.284 Zinc Phosphide, tolerances for residues.

0.01 part per million in or on grapes and sugarcane.

[FR Doc. 75-32326 Filed 12-1-75; 8:45 am]

Title 41—Public Contracts and Property Management

CHAPTER 114—DEPARTMENT OF THE INTERIOR

PART 114-43—UTILIZATION OF PERSONAL PROPERTY

Utilization of Excess

Pursuant to the authority of the Secretary of the Interior contained in 5 U.S.C. 301 and Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c), Subpart 114-43.3 of Chapter 114, Title 41 of the Code of Federal Regulations, is amended as set forth below.

This amendment relates only to matters of internal Department practice. It is, therefore, determined that the public rulemaking procedure is unnecessary and this amendment shall become effective on December 2, 1975.

RICHARD R. HITE,
Deputy Assistant Secretary
of the Interior.

NOVEMBER 21, 1975.

1. The Table of Contents is revised to read as follows:

Subpart 114-43.3—Utilization of Excess

- 114-43.301 Federal Government procedure.
- 114-43.301-50 Economic considerations.
- 114-43.302 Agency responsibility.
- 114-43.306 Property not required to be reported.
- 114-43.311 Reporting requirements.
- 114-43.311-1 Reporting.
- 114-43.315 Transfers of excess property.
- 114-43.315-2 Information of availability.
- 114-43.315-3 Fair value reimbursement.
- 114-43.315-5 Procedure for effecting transfers.

- 114-43.316 Contractor inventory.
- 114-43.316-50 Reimbursement for available contractor inventory.
- 114-43.317 Costs and proceeds.
- 114-43.317-1 Costs of care and handling.
- 114-43.319 Performance reports.
- 114-43.319-50 Preparation of S.F. 121.
- 114-43.319-51 Property excepted from reporting.
- 114-43.319-52 Submission and due date.
- 114-43.320 Use of excess property on contracts and grants.

2. Section 114-43.301 is revised and new § 114-43.301-50 is added to read as follows:

§ 114-43.301 Federal Government procedure.

The objective of the policy that excess property is the first source of supply is to obtain effective and economical utilization of property already owned by the Federal Government. Effective and economical utilization can be determined only through evaluation of use and costs, and excess property may be acquired only when there is such an evaluation and:

(a) The property is needed to meet the known requirements of an authorized planned program; and

(b) Funds are available for the costs of acquisition and for the costs of repair or modification needed to comply with the minimum standards established by the Occupational Safety and Health Act of 1970 (84 Stat. 1590), as amended. (29 U.S.C. 651).

§ 114-43.301-50 Economic considerations.

The head of each bureau and office is responsible for establishing procedures to ensure that excess property is not acquired unless there has been a determination that such acquisition is practicable and economically feasible. Such a determination requires consideration of the costs involved, including the costs of transportation, handling, and storage. When the proposed acquisition involves any type of machinery or equipment, consideration shall also be given to the following factors:

(a) The duration of the program and the frequency of use to determine any economic advantage of ownership versus loan or rental; and

(b) The nature of any repairs, modifications, and additional accessory equipment required to bring the item up to the minimum standards of the Occupational Health and Safety Act, and the total costs involved.

3. Section 114-43.311-1 is revised to read as follows:

§ 114-43.311-1 Reporting.

In accordance with 205 DM 9, the head of each bureau and office is authorized to report to the General Services Administration any personal property that has been determined to be excess to the needs of the Department. Prior to any such determination of excess:

(a) Available ADP equipment will be referred to the Office of ADP Management in accordance with 306 DM 5;

(b) Available aircraft will be referred to the Office of Aircraft Services in accordance with procedures established by that office;

(c) All types of books, periodicals, other publications, and related material will be referred to the Office of Library and Information Services in accordance with procedures established by that office;

(d) All other available personal property will be screened against Departmental needs in accordance with 114-43.102.

4. Section 114-43.319(b) is revised to read as follows:

§ 114-43.319 Performance reports.

(b) The annual report of the utilization of foreign excess property shall be submitted to the Director, Office of Management Services (PM) within 30 calendar days after the close of each fiscal year. Negative reports may be submitted in memorandum form in lieu of the prescribed Standard Form 365.

[FR Doc. 75-32354 Filed 12-1-75; 8:45 am]

[IPMR Release No. 75-7]

PART 114-60—PERSONAL PROPERTY MANAGEMENT

Vesting of Title to Equipment Purchased With Grant or Contract Funds

Pursuant to the authority of the Secretary of the Interior contained in 5 U.S.C. 301, 40 U.S.C. 486(c), and 42 U.S.C. 1892, a new Subpart 114-60.10 is added to Chapter 114, Title 41 of the Code of Federal Regulations, as set forth below.

This amendment relates only to matters of internal Department practice. It is therefore, determined that the public rulemaking procedure is unnecessary and this amendment shall become effective on December 2, 1975.

RICHARD R. HITE,
*Assistant Secretary
of the Interior.*

NOVEMBER 24, 1975.

Subpart 114-60.10—Vesting of Title to Equipment Purchased With Grant or Contract Funds

- Sec.
114-60.1000 Scope of subpart.
114-60.1001 Authority.
114-60.1002 Educational institutions.
114-60.1003 State and local governments.
114-60.1004 Documentation.
114-60.1005 Federally-owned nonexpendable personal property.

AUTHORITY: 5 U.S.C. 301, 40 U.S.C. 486(c), 42 U.S.C. 1892

Subpart 114-60.10—Vesting of Title to Equipment Purchased With Grant or Contract Funds

§ 114-60.1000 Scope of subpart.

This subpart establishes Departmental policy for the vesting of title to equipment purchased with grant or contract funds.

§ 114-60.1001 Authority.

(a) Section 2 of Pub. L. 85-934 (42 USC 1892) provides discretionary au-

thority for the vesting of title to equipment purchased with grant or contract funds when the grant or contract is for the conduct of basic or applied scientific research at nonprofit institutions of higher education, or at nonprofit organizations whose primary purpose is the conduct of scientific research.

(b) Federal Management Circular (FMC) 73-7 establishes the policy that vesting of title to equipment in educational institutions furthers the overall Government objective of strengthening the scientific capability of such institutions, and reduces or eliminates the Government's costs and administrative burden of accounting, shipment, storage, disposition, and otherwise treating the equipment as Government property.

(c) Federal Management Circular (FMC) 74-7 prescribes uniform administrative requirements for grants-in-aid to State and local governments, including standards governing the utilization and disposition of property furnished by the Federal Government or acquired in whole or in part with Federal funds.

§ 114-60.1002 Educational institutions.

To the extent permitted by statute, title to equipment purchased or fabricated under any type of research instrument at educational institutions shall be vested in the institution without further obligation to the Government unless:

(a) There is not the proper authority to vest title in the institution;

(b) It is determined that such vesting is not in furtherance of the sponsor's objectives, and such determination has been approved, in writing, by the head of the bureau/office or his authorized representative. Authority to approve such determinations shall not be delegated below the Chief Administrative Officer of a region or comparable office; or

(c) The acquisition cost of the item is \$1,000 or more and the sponsor desires to reserve the right to otherwise utilize the equipment, and then only under the condition that such right must be exercised within twelve months after the date of project completion or receipt of the institution's final fiscal report, whichever is sooner.

§ 114-60.1003 State and local governments.

When nonexpendable personal property is acquired wholly or in part with Federal funds provided under a grant to a State or local government, title shall be vested in the grantee subject only to the restrictions on use and disposition set forth in FMC 74-7, Attachment N (See Appendix A). The only exception to this policy is that the grantor may reserve title to property with an acquisition cost of \$1,000 or more when such property is:

(a) financed solely with Federal funds;

(b) unique and/or would be difficult or costly to replace;

(c) appropriately identified in the grant agreement or otherwise made known to the grantee; and

(d) use and disposition is in accordance with the standards and procedures set forth in FMC 74-7, Attachment N.

§ 114-60.1004 Documentation.

In all instances, the research instrument should clearly indicate where title to equipment is to be vested and specify which items are to be Government property.

§ 114-60.1005 Federally-owned nonexpendable personal property.

When Federally-owned nonexpendable personal property, including excess, is made available to a grantee or contractor, title to such property remains vested in the Federal Government unless there is specific statutory authority to transfer title (see 114-43.320).

APPENDIX A—FEDERAL MANAGEMENT CIRCULAR 74-7, ATTACHMENT N

PROPERTY MANAGEMENT STANDARDS

1. This attachment prescribes uniform standards governing the utilization and disposition of property furnished by the Federal Government or acquired in whole or in part with Federal funds by State and local governments. Federal grantor agencies shall require State and local governments to observe these standards under grants from the Federal Government and shall not impose additional requirements unless specifically required by Federal law. The grantees shall be authorized to use their own property management standards and procedures as long as the provisions of this attachment are included.

2. The following definitions apply for the purpose of this attachment:

a. *Real property.* Real property means land, land improvements, structures and appurtenances thereto, excluding movable machinery and equipment.

b. *Personal property.* Personal property means property of any kind except real property. It may be tangible—having physical existence, or intangible—having no physical existence, such as patents, inventions, and copyrights.

c. *Nonexpendable personal property.* Nonexpendable personal property means tangible personal property having a useful life of more than one year and an acquisition cost of \$300 or more per unit. A grantee may use its own definition of nonexpendable personal property provided that such definition would at least include all tangible personal property as defined above.

d. *Expendable personal property.* Expendable personal property refers to all tangible personal property other than nonexpendable property.

e. *Excess property.* Excess property means property under the control of any Federal agency which, as determined by the head thereof, is no longer required for its needs.

3. Each Federal grantor agency shall prescribe requirements for grantees concerning the use of real property funded partly or wholly by the Federal Government. Unless otherwise provided by statute, such requirements, as a minimum, shall contain the following:

a. The grantee shall use the real property for the authorized purpose of the original grant as long as needed.

b. The grantee shall obtain approval by the grantor agency for the use of the real property in other projects when the grantee determines that the property is no longer needed for the original grant.

purposes. Use in other projects shall be limited to those under other Federal grant programs, or programs that have purposes consistent with those authorized for support by the grantor.

c. When the real property is no longer needed as provided in a. and b., above, the grantee shall return all real property furnished or purchased wholly with Federal grant funds to the control of the Federal grantor agency. In the case of property purchased in part with Federal grant funds, the grantee may be permitted to take title to the Federal interest therein upon compensating the Federal Government for its fair share of the property. The Federal share of the property shall be the amount computed by applying the percentage of the Federal participation in the total cost of the grant program for which the property was acquired to the current fair market value of the property.

4. Standards and procedures governing ownership, use, and disposition of nonexpendable personal property furnished by the Federal Government or acquired with Federal funds are set forth below:

a. *Nonexpendable personal property acquired with Federal funds.* When nonexpendable personal property is acquired by a grantee wholly or in part with Federal funds, title will not be taken by the Federal Government except as provided in paragraph 4a(4) but shall be vested in the grantee subject to the following restrictions on use and disposition of the property:

(1) The grantee shall retain the property acquired with Federal funds in the grant program as long as there is a need for the property to accomplish the purpose of the grant program whether or not the program continues to be supported by Federal funds. When there is no longer a need for the property to accomplish the purpose of the grant program, the grantee shall use the property in connection with other Federal grants it has received in the following order of priority:

(a) Other grants of the same Federal grantor agency needing the property.

(b) Grants of other Federal agencies needing the property.

(2) When the grantee no longer has need for the property in any of its Federal grant programs, the property may be used for its own official activities in accordance with the following standards:

(a) *Nonexpendable property with an acquisition cost of less than \$500 and used four years or more.* The grantee may use the property for its own official activities without reimbursement to the Federal Government or sell the property and retain the proceeds.

(b) *All other nonexpendable property.* The grantee may retain the property for its own use provided that a fair compensation is made to the original grantor agency for the latter's share of the property. The amount of compensation shall be computed by applying the percentage of Federal participation in the grant program to the current fair market value of the property.

(3) If the grantee has no need for the property, disposition of the property shall be made as follows:

(a) *Nonexpendable property with an acquisition cost of \$1,000 or less.* Except for that property which meets the criteria of (2)(a) above, the grantee shall sell the property and reimburse the Federal grantor agency an amount which is computed in accordance with (III) below.

(b) *Nonexpendable property with an acquisition cost of over \$1,000.* The grantee shall request disposition instructions from the grantor agency. The Federal agency shall determine whether the property can be used to meet the agency's requirement. If no requirement exists within that agency, the availability of the property shall be reported to the General Services Administration (GSA) by the Federal agency to determine whether a requirement for the property exists in other Federal agencies. The Federal grantor agency shall issue instructions to the grantee within 120 days and the following procedures shall govern:

(i) If the grantee is instructed to ship the property elsewhere, the grantee shall be reimbursed by the benefiting Federal agency with an amount which is computed by applying the percentage of the grantee's participation in the grant program to the current fair market value of the property, plus any shipping or interim storage costs incurred.

(ii) If the grantee is instructed to otherwise dispose of the property, he shall be reimbursed by the Federal grantor agency for such costs incurred in its disposition.

(iii) If disposition instructions are not issued within 120 days after reporting, the grantee shall sell the property and reimburse the Federal grantor agency an amount which is computed by applying the percentage of Federal participation in the grant program to the sales proceeds. Further, the grantee shall be permitted to retain \$100 or 10 percent of the proceeds, whichever is greater, for the grantee's selling and handling expenses.

(4) Where the grantor agency determines that property with an acquisition cost of \$1,000 or more and financed solely with Federal funds is unique, difficult, or costly to replace, it may reserve title to such property, subject to the following provisions:

(a) The property shall be appropriately identified in the grant agreement or otherwise made known to the grantee.

(b) The grantor agency shall issue disposition instructions within 120 days after the completion of the need for the property under the Federal grant for which it was acquired. If the grantor agency fails to issue disposition instructions within 120 days, the grantee shall apply the standards of 4a(1), 4a(2)(b), and 4a(3)(b).

b. *Federally-owned nonexpendable personal property.* Unless statutory authority to transfer title has been granted to an agency, title to Federally-owned property (property to which the Federal Government retains title including excess property made available by the Federal grantor agencies to grantees) remains vested by law in the Federal Government. Upon termination of the grant or need for the property, such property shall be reported to the grantor agency for further agency utilization or, if appropriate, for reporting to the General Services Administration for other Federal agency utilization. Appropriate disposition instructions will be issued to the grantee after completion of Federal agency review.

5. The grantees' property management standards for nonexpendable personal property shall also include the following procedural requirements:

a. Property records shall be maintained accurately and provide for: a description of the property; manufacturer's serial number or other identification number; acquisition

date and cost; source of the property; percentage of Federal funds used in the purchase of property; location, use, and condition of the property; and ultimate disposition data including sales price or the method used to determine current fair market value if the grantee reimburses the grantor agency for its share.

b. A physical inventory of property shall be taken and the results reconciled with the property records at least once every two years to verify the existence, current utilization, and continued need for the property.

c. A control system shall be in effect to insure adequate safeguards to prevent loss, damage, or theft to the property. Any loss, damage, or theft of nonexpendable property shall be investigated and fully documented.

d. Adequate maintenance procedures shall be implemented to keep the property in good condition.

e. Proper sales procedures shall be established for unneeded property which would provide for competition to the extent practicable and result in the highest possible return.

6. When the total inventory value of any unused expendable personal property exceeds \$500 at the expiration of need for any Federal grant purposes, the grantee may retain the property or sell the property as long as he compensates the Federal Government for its share in the cost. The amount of compensation shall be computed in accordance with 4a(2)(b).

7. Specific standards for control of intangible property are provided as follows:

a. If any program produces patentable items, patent rights, processes, or inventions, in the course of work aided by a Federal grant, such fact shall be promptly and fully reported to the grantor agency. Unless there is prior agreement between the grantee and grantor on disposition of such items, the grantor agency shall determine whether protection on such invention or discovery shall be sought and how the rights in the invention or discovery—including rights under any patent issued thereon—shall be allocated and administered in order to protect the public interest consistent with "Government Patent Policy" (President's Memorandum for Heads of Executive Departments and Agencies, August 23, 1971, and Statement of Government Patent Policy as printed in 36 FR 16889).

b. Where the grant results in a book or other copyrightable material, the author or grantee is free to copyright the work, but the Federal grantor agency reserves a royalty-free, nonexclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use the work for Government purposes.

[FR Doc.75-32375 Filed 12-1-75;8:45 am]

Title 45—Public Welfare

CHAPTER X—COMMUNITY SERVICES ADMINISTRATION

PART 1013—GENERAL ADMINISTRATION AND MANAGEMENT LAWS AND LEGAL MATTERS

Deletion

EDITORIAL NOTE: The Office of the Federal Register has received a letter from the Assistant Secretary for Manpower, Department of Labor, in which he informs that regulations presently

codified as 45 CFR Part 1013 are obsolete and legally void. The letter requests the Office of the Federal Register to delete the regulations from a CFR chapter administered by the Community Services Administration.

The basis for the Labor Department request is Title IV of the Comprehensive Employment and Training Act (CETA) of 1973 (29 U.S.C. 801 et seq.) That act entrusted the administration of these regulations to the Secretary of Labor. Acting under this authority, the Labor Department has promulgated final regulations as 29 CFR Part 97a on October 31, 1975 (40 FR 50812). The effect of the publication of 29 CFR Part 97a is to make obsolete the regulations in 45 CFR Part 1013.

Therefore, pursuant to 1 CFR 8.2, Part 1013 of Chapter X of Title 45, Code of Federal Regulations, is deleted.

Title 49—Transportation

CHAPTER X—INTERSTATE COMMERCE COMMISSION

[Amdt. No. 7 to S.O. 1102]

PART 1033—CAR SERVICE

Delaware and Hudson Railway Company and Penn Central Transportation Company; Authorized To Assume Joint Supervisory Control Over Railroad Operations of Albany Port District Commission, Albany, New York

At a Session of the Interstate Commerce Commission, Railroad Service Board, held in Washington, D.C., on the 21st day of November, 1975.

Upon further consideration of Service Order No. 1102 (37 FR 13697, 28634; 38 FR 17843, 33086, 33302; 39 FR 18655, 41853; and 40 FR 24005), and good cause appearing therefor:

It is ordered, That:

§ 1033.1102 Delaware and Hudson Railway Company and Penn Central Transportation Company, Robert W. Blanchette, Richard C. Bond, and John H. McArthur, Trustees, authorized to assume joint supervisory control over railroad operations of Albany Port District Commission, Albany, New York.

Service Order No. 1102 be, and it is hereby, amended by substituting the following paragraph (e) for paragraph (e) thereof:

(e) *Expiration date.* This order shall expire at 11:59 p.m., May 31, 1976, unless otherwise modified, changed, or suspended by order of this Commission.

Effective date. This amendment shall become effective at 11:59 p.m., November 30, 1975.

(Secs. 1, 12, 15, and 17(2), 24 Stat. 379, 383, 384, as amended; (49 U.S.C. 1, 12, 15, and 17(2)). Interprets or applies secs. 1(10-17), 15(4), and 17(2), 40 Stat. 101, as amended, 54 Stat. 911; (49 U.S.C. 1(10-17), 15(4), and 17(2)).)

It is further ordered, That a copy of this amendment shall be served upon the Association of American Railroads, Car Service Division, as agent of all railroads subscribing to the car service and

car hire agreement under the terms of that agreement, and upon the American Short Line Railroad Association; and that notice of this amendment be given to the general public by depositing a copy in the Office of the Secretary of the Commission at Washington, D.C., and by filing it with the Director, Office of the Federal Register.

By the Commission, Railroad Service Board.

[SEAL]

ROBERT L. OSWALD,
Secretary.

[FR Doc.75-32432 Filed 12-1-75; 8:45 am]

Title 50—Wildlife and Fisheries

CHAPTER I—FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

PART 33—SPORT FISHING

Certain National Wildlife Refuges in California

The following special regulations are issued and are effective on January 1, 1976.

§ 33.5 Special regulations; sport fishing; for individual wildlife refuge areas.

GENERAL CONDITIONS: Fishing shall be in accordance with applicable State and Federal regulations and special conditions listed. Portions of the refuges which are open to fishing are designated by signs and/or delineated on maps. The maps are available at the refuge headquarters and from the office of the Regional Director, U.S. Fish and Wildlife Service, P.O. Box 3737, Portland, Oregon 97208.

COLUSA NATIONAL WILDLIFE REFUGE. (Headquarters: Sacramento National Wildlife Refuge, Route 1, Box 311, Willows, CA 95988.)

Special Condition: The taking of frogs is permitted in the public fishing area. The refuge is closed to sport fishing and the taking of frogs during the migratory waterfowl hunting season.

Delevan National Wildlife Refuge. (Headquarters: Sacramento National Wildlife Refuge, Route 1, Box 311, Willows, CA 95988.)

Special Condition: The taking of frogs is permitted in the public fishing area. The refuge is closed to sport fishing and the taking of frogs during the migratory waterfowl hunting season.

Modoc National Wildlife Refuge. (Headquarters: Sheldon-Hart Mountain-Modoc National Wildlife Refuge, P.O. Box 111, Lakeview, OR 97630.)

Special Conditions: (1) The refuge is closed to fishing during the waterfowl hunting season.

(2) The taking of frogs on refuge lands is prohibited.

Sacramento National Wildlife Refuge. Route 1, Box 311, Willows, CA 95988.

Special Condition: The taking of frogs is permitted in the public fishing area. The refuge is closed to sport fishing and the taking of frogs during the migratory waterfowl hunting season.

Salton Sea National Wildlife Refuge. P.O. Box 247, Calipatria, CA 92233.

Special Condition: Fishing is permitted in that portion of the refuge which is inundated by the Salton Sea.

San Luis National Wildlife Refuge. P.O. Box 2176, Los Banos, CA 93635.

Special Conditions: (1) Fishing permitted from sunrise to one hour after sunset.

(2) The refuge is closed to sport fishing during the migratory waterfowl hunting season.

(3) Use of boats is prohibited.

The provisions of these special regulations supplement the regulations which govern fishing on wildlife refuge areas generally, which are set forth in Title 50, Code of Federal Regulations, Part 33, and are effective through December 31, 1976.

WILLIAM H. MEYER,
Acting Regional Director,
U.S. Fish and Wildlife Service.

[FR Doc.75-32372 Filed 12-1-75; 8:45 am]

Title 10—Atomic Energy

[RULING 1975- 18]

NATURAL GAS SHRINKAGE

Computation of Increased Cost

This Ruling is issued to provide guidance to gas processors with respect to acceptable methods for computation of increased cost of natural gas shrinkage under Subpart E of the Mandatory Petroleum Price Regulations in Part 212 of the FEA regulations for the period prior to January 1, 1975, and under Subpart K of Part 212 for the period on and after January 1, 1975. Gas processors process natural gas to recover natural gas liquid products covered by FEA regulations (propane, butane and natural gasoline) and, in some instances, a product that is exempt from FEA regulation (ethane). Some gas processors process natural gas only to recover the undifferentiated stream of natural gas liquids, which is a liquid made up of the foregoing products, but in mixed form. Such mixed streams of natural gas liquids may be further processed to segregate the individual component natural gas liquid products.

Gas processing firms are included within the definition of "refiner" in § 212.31 and, prior to January 1, 1975, were subject to the refiner's price regulations in Subpart E of Part 212. Pursuant to the price rules of Subpart E, refiners were permitted to pass through their increased product costs, including the increased costs of natural gas shrinkage, in prices charged for covered products (FEA Ruling 1975-6).

Effective January 1, 1975, the price regulations were amended by adding a new Subpart K to Part 212 to provide price rules tailored more specifically to the operations of gas processors. The price rules of Subpart K continue to permit gas processors to pass through their increased costs of natural gas shrinkage as increased product costs. The principles and procedures set forth in this Ruling provide guidelines as to the appropriate methods for determining the increased cost of natural gas shrinkage

for both the period prior to and the period beginning on January 1, 1975.

FACTS

Firm A. Firm A, a gas processor, purchases "wet" natural gas (i.e., natural gas from which the liquids, other than condensate, have not been extracted) under a "net-back" contract with Firm X. Title to the "wet" natural gas passes to Firm A at the wellhead, and Firm A transports the gas to its gas plant. Both the natural gas liquid products which are extracted from the natural gas and fractionated at the same facility and the residue gas which remains after the liquids have been extracted are sold by Firm A. Firms A and X share in the proceeds from the sale of the residue gas and the natural gas liquid products on a percentage basis pursuant to the "net-back" contract.

In May 1973, the inlet ("wet") volume of the gas processed at Firm A's plant, excluding condensate (i.e., liquids which are separated from natural gas by mechanical separators), was 3000 MCF's and the outlet (residue) gas volume was 1950 MCF's. In August 1975, the inlet volume, excluding condensate, was 1600 MCF's (1920 MMBTU's) and the outlet was 1248 MMBTU's. Firm A's contracts in effect on May 15, 1973 permitted the price of residue gas to be determined either by reference to the volume (MCF) of residue gas without reference to BTU content or by reference to the BTU content (MMBTU) of the residue gas. The actual price received by A for gas delivered during May 1973, was computed pursuant to the price per MCF terms in the contracts. Firm A's sales contracts for residue gas in effect in August 1975 provided for the price of residue gas to be determined by reference to the BTU content of the residue gas.

During each month a portion of the residue gas equal to approximately 10 percent of the residue volume was used by Firm A as plant fuel to operate its extraction facilities.

In May 1973, Firm A delivered to Firm X residue gas equal to 10 percent of the outlet volume for fuel to operate Firm X's production wells ("lease fuel") and for the purpose of injection at the well site to maintain pressure for production ("injection gas"). In accordance with contractual requirements. In August 1975, Firm A delivered to Firm X residue gas equal to 5 percent of the outlet BTU value for use as injection gas and as lease fuel, under new contractual terms calling for BTU measurement of inlet and residue volumes, and requiring the return of lesser amounts of residue gas for these purposes. In August 1975, Firm A "flared" its total butane production, consisting of 5 MMBTU's.

On May 15, 1973, Firm A sold the residue gas at a weighted average rate of \$.20 per MCF. In August 1975, it sold the residue gas at a weighted average rate of \$.60 per MMBTU.

Firm B. Firm B, a natural gas producer, also extracts mixed natural gas liquids from the natural gas stream and then sells those mixed natural gas liquids to

Firm Y, a gas plant operator. Firm Y fractionates the natural gas liquids and sells the natural gas liquid products.

In May 1973, the inlet ("wet") gas volume at Firm B's plant was 3000 MCF's, excluding condensate. During that month, Firm B extracted a mixed natural gas liquid stream consisting of 3125 gallons of propane, 1666 gallons of butane, 6250 gallons of natural gasoline (primarily, pentanes, isopentanes, hexanes, and heptanes), and 6026 gallons of ethane. The outlet (residue) gas during May 1973 was measured at 2060 MMBTU.

In August 1975, the inlet volume was 1600 MCF's, excluding condensate. Natural gas liquids extracted amounted to 1625 gallons of propane, 1000 gallons of butane, 3000 gallons of natural gasoline, and 3999 gallons of ethane. The outlet (residue) gas during August 1975 was measured at 1070 MMBTU. In each month, Firm B utilized 10 percent of the residue gas as plant fuel and an additional 10 percent of the residue gas to operate its wells and as injection gas, and sold the remainder.

On May 15, 1973, Firm B sold the residue gas at a weighted average rate of \$.20 per MMBTU. In August 1975, it sold the residue gas at a weighted average rate of \$.60 per MMBTU.

Measurement of Firm B's "residue" or outlet natural gas both in May 1973, and August 1975, was made on a BTU basis. However, since the inlet gas was measured on a volumetric basis during those months and since the precise BTU content of the inlet gas is not known, Firm B has computed the calorific (BTU) value of the mixed stream extracted from the gas as the basis for computing its increased cost of natural gas shrinkage. The calorific value of the mixed stream extracted by Firm B, measured at 60 F. and at 14.7 psia, is 91,065 BTU's per gallon for the propane content, 102,600 BTU's per gallon for the butane content, 110,000 BTU's per gallon for the natural gasoline content, and 66,300 BTU's per gallon for the ethane content.¹

Issue 1: What costs may Firm A and B attribute as allowable increased costs of natural gas shrinkage?

Issue 2: What is the correct method of computing the amount of increased costs of natural gas shrinkage which may be passed through in prices charged for products?

RULING

1. Section 212.166, dealing with the calculation of increased product costs, states that such costs include:

... the difference between the weighted average cost of natural gas shrinkage per thousand cubic feet (MCF) of natural gas processed in the month of May 1973, and the weighted average cost of natural gas

¹ The conversion factors used in this fact situation are taken from a table of physical constants for hydrocarbons located in the Ninth Edition of the Natural Gas Processors Suppliers' Association (NGPSA) Engineering Data Book, compiled and edited in cooperation with the Gas Processors Association, 1972.

shrinkage per thousand cubic feet (MCF) of natural gas processed in the current month, multiplied by the number of thousand cubic feet (MCF's) of natural gas processed in the current month.

"Cost of natural gas shrinkage" is defined in § 212.162 as:

(T)he reduction in selling price per thousand cubic feet (MCF) of natural gas processed, which is attributable to the reduction in volume or BTU value of the natural gas resulting from the extraction of natural gas liquids, as determined pursuant to the contract in effect at the time for which cost of natural gas shrinkage is being measured, and under which the processed gas is sold.

"Natural gas liquids" are defined in § 212.162 as:

(A) mixed hydrocarbon stream containing, in whole or in substantial part, mixtures of ethane, butane (iso-butane and normal butane), propane or natural gasoline.

The definition of "cost of natural gas shrinkage" makes clear that the reduction in proceeds from the sale of processed natural gas, resulting from the extraction of the natural gas liquids, constitutes a cost which may be included in the calculation of increased product costs pursuant to § 212.166. However, it also makes clear that only those shrinkage costs which are "attributable to the reduction in volume or BTU value of the natural gas resulting from the extraction of natural gas liquids" are included in the "cost of natural gas shrinkage." (Emphasis added.) Hence, to qualify as an increased product cost, any shrinkage cost must be related to the extraction process, which FEA defines to include only the extraction of natural gas liquids from the "wet" gas stream.

Applying this test, FEA has determined that condensate, plant fuel, lease fuel, injection gas, flared gas, and ethane should be treated as follows in computing the cost of natural gas shrinkage:

a. Condensate. Condensate occurs in nature as the heavy hydrocarbon portion of natural gas in the underground reservoir, and is mechanically separated from natural gas as a liquid through a process of retrograde condensation, involving pressure reduction, sometimes accompanied by a reduction in temperature as well. In some cases, condensate is separated from natural gas by conventional lease separation facilities ("surface separators") at the well-head, and in other cases by a single mechanical separator ("field facility") located centrally and servicing two or more wells, and in either case is typically referred to as "leave condensate". In yet other cases, condensate is not separated from natural gas until it reaches a mechanical separation device similar to a surface separator or field facility, but located instead at the inlet side of a gas processing plant ("inlet separator" or "scrubber") and, in that case, the condensate is referred to as "plant condensate".

Condensate is to be distinguished from the lighter natural gas liquids and natural gas liquid products, whether fractionated or in a mixed stream of natural gas liquids, which are incapable of being

separated from natural gas by mechanical means only and are generally recovered from natural gas at a gas processing plant by absorption, adsorption, or extraneous refrigeration processes. In light of these distinctions, the FEA has determined that condensate should, as a general matter, be treated as crude oil under Subpart D of the price regulations, rather than as natural gas liquids or natural gas liquid products which are treated under Subpart K of the price regulations. Therefore, any reduction in the value of "wet" natural gas which results from the separating out of condensate lacks the requisite connection with the extraction of the natural gas liquids, even though both processes may be performed at the same processing facility by the same party.

b. Plant fuel. The natural gas stream is also reduced by the removal of a certain quantity of gas, typically in the form of residue gas, which is utilized as plant fuel in the extraction process. Since the plant fuel is taken exclusively from feedstock for use in the extraction processes, it is included in the cost of natural gas shrinkage.

Plant fuel is allowed as a shrinkage cost to any firm which extracts natural gas liquids and uses the fuel in connection therewith, whether it is a gas processor or gas producer. Thus Firms A and B may include as shrinkage the reduction in gas volume resulting from its use as plant fuel. However, Firms A and B may not include as shrinkage any reduction in gas volume associated with operations other than the extraction of natural gas liquids.

It should be noted that, in permitting gas processing refiners to include the cost of plant fuel in the total of product costs calculated pursuant to the provisions of Subpart K, the FEA has provided different treatment for gas processors' fuel costs than is provided in Subpart E for the fuel costs of crude oil refiners. Refinery fuel costs are included, under Subpart E, in the total of a crude refiner's non-product costs. The reasons for the different treatment of these seemingly analogous costs are four:

(1) The analogy drawn between refinery fuel and gas plant fuel is merely superficial. Refinery fuel typically consists, in part, of some portion of the crude oil feedstock and, in part, of other fuels including natural gas, natural gas liquids, and electricity. Plant fuel consists almost exclusively of fuels derived from the "wet" (inlet) gas stream. Although the inclusion of the cost of feedstocks used as plant fuel in the total of product costs reflects an identifiable nexus between the product and the feedstock from which it is derived, the inclusion of the cost of other non-related fuels in the total of product costs cannot be justified on the same basis;

(2) Crude oil refiners are automatically permitted under Subpart E to pass-through their increased non-product costs, subject to a profit margin limitation, while gas processing refiners are limited under Subpart K to a pass-through of no more than \$.005 per gal-

lon of non-product cost increases incurred;

(3) Increased plant fuel costs were not taken into account by the FEA in its decision to limit the passthrough of gas processors' increased non-product costs to a \$.005 per gallon increment; and

(4) In light of the fact that there are more than 700 gas plants in the United States processing products subject to the Subpart K price rules and since plant fuel is not uniformly measured among these plants, the prospect of a requirement that the cost of plant fuel be measured as a discrete amount to be excluded from the total of shrinkage costs otherwise calculated represented an undue administrative burden both for the smaller independent gas processors in their efforts to comply with FEA price rules and for the FEA in its efforts to enforce its regulations.

c. Lease fuel and injection gas. In certain situations a portion of the natural gas stream may be used to provide lease fuel and/or injection gas. The contract which Firm A has with Firm X, for example, requires the gas plant operator to furnish the producer with lease fuel and injection gas from the residue gas which remains after processing of the "wet" natural gas. These quantities of residue gas are to be used for the specific purpose of servicing the producer's wells. In similar fashion Firm B uses a portion of the residue gas that remains after the extraction process to operate its own wells and to maintain well pressure for production. Lease fuel and injection gas do not constitute allowable shrinkage to Firms A and B, since they are not attributable to the reduction in volume or BTU value of the natural gas resulting from the extraction of natural gas liquids, but instead represent the diversion of a portion of the residue gas to supply certain needs associated with the production of the "wet" natural gas. Hence, they lack the requisite nexus with the extraction operation to constitute shrinkage.

d. Flared natural gas liquid products. The FEA is aware that some gas processors have engaged in the practice known as "flaring" from time to time. It involves the burning of certain natural gas liquid products because temporary demand shortfall overburdens existing storage facilities, or for other reasons. Since there is a reduction in the selling price of processed gas attributable to the extraction of the natural gas liquids from which the flared product has been separated, the total amount of all natural gas liquid products extracted from the natural gas stream in the processing operation, including any product which is later flared, is properly taken into account in determining the cost of natural gas shrinkage for the purposes of calculating increased product costs. However, since the flaring of a particular natural gas liquid product, such as butane in the case of Firm A, represents action implementing a business decision formulated in response to market conditions or other circumstances, it is regarded as a use which produces economic value for Firm A. The FEA has previously de-

termined that the internal consumption of covered products in such a manner requires that the same increment of increased product cost be assigned to them as is assigned to such products in determining the selling price for those products in arms-length transactions, with the increment of increased product cost so assigned to be regarded as recouped by Firm A when it flares the product, and therefore no longer available for pass through in price charged by Firm A in arms-length transactions (Ruling 1974-27).

e. Ethane. Since ethane is included within the definition of "natural gas liquids" in § 212.162, the cost of natural gas shrinkage, which is defined in terms of the reduced selling price for natural gas attributable to the extraction of natural gas liquids, includes any reduction in the selling price of processed natural gas attributable to the extraction of ethane. Thus, the increased cost of natural gas shrinkage also includes increases in the cost of shrinkage due to ethane. It should be noted, however, that the increased product costs, including the increased cost of natural gas shrinkage, which are allocated among natural gas liquids and natural gas liquid products pursuant to § 212.167, are reduced by the portion of such costs attributable to the production and sale of ethane under paragraph (a) of that section.

2. Computation of the increased cost of natural gas shrinkage which is included in the calculation of increased product costs pursuant to § 212.166 requires a comparison of the "weighted average cost of natural gas shrinkage per thousand cubic feet (MCF) of natural gas processed" during the month of May 1973 and during the current month. The "cost of natural gas shrinkage" is computed, as defined in § 212.162, by determining the reduction in selling price of the processed gas attributable to the extraction of natural gas liquids, by reference to the contract price in effect for the relevant month.

Although the concept of the "cost of natural gas shrinkage," as it is defined in § 212.162, does not appear unduly complex, computation of the "reduction in selling price" can be complicated where, as with Firm A, the price terms in effect during the two relevant periods differ or where, as with Firm B, the extent of the shrinkage in the natural gas stream attributable to the extraction of liquids cannot be determined simply by comparing the inlet and outlet measurements of the natural gas stream. In order to provide guidance as to the appropriate methods of determining the "cost of natural gas shrinkage" under such circumstances, the FEA has developed two formulae consistent with the ruling on Issue #1.

a. The following formula describes the appropriate method of determining the weighted average cost of shrinkage where inlet and outlet quantities are measured on comparable bases during the relevant time period (hereinafter referred to as the "inlet-outlet" method).

$$C_{wa} = \frac{(I-O)P}{I_{MCF}}$$

Where:

- C_{wa} = The weighted average cost of natural gas shrinkage.
- I = The volume (MCF's) or BTU value of inlet gas, exclusive of any condensate (which is "crude oil" as that term is defined in § 212.31).
- O = The volume (MCF's) or BTU value of outlet (residue) gas (including all quantities of residue gas utilized as lease fuel or as injection gas, but excluding all quantities of residue gas utilized as plant fuel).
- P = The weighted average price per unit (MCF or BTU) for processed natural gas, as determined pursuant to the contracts in effect at the time for which the cost of natural gas shrinkage is being measured, and under which the processed natural gas is sold.
- I_{MCF} = The volume in MCF's of the inlet gas, exclusive of any condensate (which is "crude oil" as that term is defined in § 212.31).

The inlet-outlet method should be used whenever the inlet and outlet gases are measured on the same basis during the relevant period. It is not necessary that the same units of measurement be used in both May 1973 and the month for which increased shrinkage cost is measured, however. Thus, the inlet-outlet method should be used when both inlet and outlet gases were measured in MCF's in May 1973 and both are measured in BTU's today, or vice-versa.

b. Where the amounts of inlet and outlet gas are measured on different bases during the same time period, it may not be possible, as in the case of Firm B, to convert the inlet and outlet amounts to the same unit of measurement. Under such circumstances, a different method of computation of cost of shrinkage (hereinafter referred to as the "conversion" method) should be used.

This procedure involves the conversion of the volume of the mixed stream of natural gas liquids or of each covered natural gas liquid product (propane, butane, and natural gasoline), and of ethane, from liquid volumetric measure (gallons) either to the equivalent gaseous volumetric measure (MCF's) or to BTU measurement, whichever is consistent with the price term of the contract under which the residue gas is sold. This is accomplished by the employment of a conversion factor for each product. Such factors may be found in a conversion table or may be determined by a chemical analysis of the stream.³

The MCF or BTU values for the covered natural gas liquid products are

³ FEA is aware that a number of different conversion tables are used in the industry

added together. The resultant aggregate MCF or BTU value of natural gas liquids and natural gas liquid products, plus the MCF or BTU value of any plant fuel, constitutes the measure of shrinkage.

The aggregate value thus derived may be substituted in the following formula for the calculation of the cost of natural gas shrinkage:

$$C_{wa} = \frac{V \times P}{I_{MCF}}$$

Where:

- C_{wa} = The weighted average cost of natural gas shrinkage.
- V = The aggregate value in MCF or BTU of the natural gas liquids, natural gas liquid products, ethane, and plant fuel extracted from the processed gas stream, determined by converting them to the unit of measurement by which the residue gas is sold, in accordance with the procedures discussed above.
- P = The weighted average price per unit (MCF or BTU) for processed natural gas, as determined pursuant to the contracts in effect at the time for which the cost of natural gas shrinkage is being measured, and under which the processed natural gas is sold.
- I_{MCF} = The volume in MCF's of the inlet gas, exclusive of any condensate (which is "crude oil" as that term is defined in § 212.31).

The contract terms in effect during the relevant period determine whether volume (MCF's) or BTU value is to be used to calculate each of the elements set forth in the numerators of the above formulae when determining the weighted average cost of natural gas shrinkage during that period, in accordance with the definition of "cost of natural gas shrinkage" in § 212.162.

In calculating increased product costs, Subpart K provides that the increased cost of natural gas shrinkage portion of the total shall be

difference between the weighted average cost of natural gas shrinkage per thousand cubic

and that they are not identical. However, while the use of different tables may cause some variation in result, the range of deviation does not at this time appear to be significant. Since it is not possible at this time for FEA to identify and to approve a single conversion table for use, it shall be permissible to use any published conversion table which is generally accepted by petroleum engineers in the United States, provided that the table which is used is prominently identified in the calculations, and provided also that FEA shall have the right to review the use of particular conversion tables and to prohibit the use of any conversion table which it considers to be unacceptable.

feet (MCF) of natural gas processed in the month of May 1973, and the weighted average cost of natural gas shrinkage per thousand cubic feet (MCF) of natural gas processed in the current month, multiplied by the number of thousand cubic feet (MCF's) of natural gas processed in the current month. 10 CFR § 212.166(b)(2) (emphasis added).

The purpose of requiring a "weighted average" cost comparison is to provide a method by which firms which have chosen, pursuant to § 212.167(b), to aggregate the total amount of increased product costs respecting volumes of natural gas subject to differing sales contracts which are processed in one or more plants, may calculate a single amount representing the increased costs of natural gas shrinkage for the aggregate of volumes of natural gas processed. Accordingly, the above formulae provide the acceptable methods for the computation of a "weighted average cost of natural gas shrinkage." Where the increased costs associated with several volumes of processed natural gas have been aggregated, the residue price which is used to determine the cost of natural gas shrinkage is a weighted average of all contract price terms under which the different volumes of processed natural gas are sold.

The foregoing methods of determining cost of shrinkage are applied with respect to Firms A and B to determine the amount of increased cost of shrinkage for August, 1975, in the above fact situations as follows:

Firm A. Firm A's shrinkage costs are determined by application of the inlet-outlet method. Since Firm A's actual price charged for residue gas during the May 1973 period was determined by reference to a fixed rate per MCF, even though Firm A's contract with Firm X permitted reference to either MCF or BTU content, MCF values must be used in calculating the "cost of natural gas shrinkage" for May 1973. In later periods the price terms of Firm A's contracts make reference to BTU content and this unit of measurement is appropriate for use. This illustrates the "cross-over" which arises in calculating increased cost of shrinkage on the basis of shrinkage amounts in different periods under different contracts.

In accordance with the Ruling on Issue #1, the outlet (residue) gas volume is reduced by the amount of residue gas utilized as plant fuel so that plant fuel is included in computing the weighted average cost of natural gas shrinkage.

I. Increased Cost of Natural Gas Shrinkage

A. Cost of Natural Gas Shrinkage for the Month of May 1973

$$C_{wa} = \frac{(I-O) P}{I_{MCF}} \quad (1)$$

$$C_{wa} = \frac{(3000 \text{ MCF} - 1755 \text{ MCF}) [\text{outlet gas, less } 10\% \text{ used as plant fuel}] \times \$.20/\text{MCF} [\text{price of residue gas}]}{3000 \text{ MCF} [\text{inlet gas}]} \quad (2)$$

$$C_{wa} = \frac{1245 \text{ MCF} \times \$.20/\text{MCF}}{3000 \text{ MCF}} \quad (3)$$

$$C_{wa} = \frac{\$249}{3000 \text{ MCF}} \quad (4)$$

$$C_{wa} = \$.08/\text{MCF} \quad (5)$$

B. Cost of Natural Gas Shrinkage for the Current Month of August 1975

$$C_{wa} = \frac{(I-O) P}{I_{MCF}} \quad (1)$$

$$C_{wa} = \frac{(1920 \text{ MMBTU} - 1123 \text{ MMBTU}) [\text{outlet gas, less } 10\% \text{ used as plant fuel}] \times \$.60/\text{MMBTU} [\text{price of residue gas}]}{1600 \text{ MCF} [\text{inlet gas}]} \quad (2)$$

$$C_{wa} = \frac{797 \times \$.60}{1600 \text{ MCF}} \quad (3)$$

$$C_{wa} = \frac{\$478.20}{1600 \text{ MCF}} \quad (4)$$

$$C_{wa} = \$.30/\text{MCF} \quad (5)$$

C. Increased Cost of Shrinkage

$$\text{Increased Cost of Shrinkage} = \frac{(C_{wa} (\text{Aug.}) [\text{Current shrinkage cost}] - C_{wa} (\text{May}) [\text{May, 1973 shrinkage cost}]) \times I_{MCF} (\text{Aug.}) [\text{Current inlet gas}]}{I_{MCF} (\text{Aug.}) [\text{Current inlet gas}]} \quad (1)$$

$$= (\$.30/\text{MCF} - \$.08/\text{MCF}) \times 1600 \text{ MCF} \quad (2)$$

$$= \$.22/\text{MCF} \times 1600 \text{ MCF} \quad (3)$$

$$= \$352.00 \quad (4)$$

Firm B. Although Firm B is a gas producer rather than a gas operator, it is entitled to pass through the increased cost of shrinkage since it has extracted the natural gas liquids from the natural gas stream.

Firm B's fact situation is an example of the instance where employment of the conversion method, rather than inlet-outlet method, should be used. Firm B has inlet readings only on a volumetric basis, and its sales contracts are in BTU

values. To compute shrinkage, the values for natural gas liquid products and ethane are converted from liquid volumetric measurement (gal.) to BTU values. Increased cost of shrinkage is then calculated according to the standard method set forth above.

Allowed amounts include the BTU value of the covered natural gas liquid products, ethane, and plant fuel, but not lease fuel or injection gas.

I. Increased Cost of Natural Gas Shrinkage

A. Cost of Natural Gas Shrinkage for the Month of May 1973

(1) Conversion of liquid products to BTU value.

(a) Propane:

$$\text{BTU value} = 3125 \text{ gal} \times 91065 \text{ (BTU content per gallon)} \\ = 285 \text{ MMBTU}$$

(b) Butane:

$$\text{BTU value} = 1666 \text{ gal.} \times 102,600 \text{ (BTU content per gallon)} \\ = 171 \text{ MMBTU}$$

(c) Natural Gasoline:

$$\text{BTU value} = 6250 \text{ gal.} \times 110,000 \text{ (BTU content per gallon)} \\ = 687 \text{ MMBTU}$$

(d) Ethane:

$$\text{BTU value} = 6026 \text{ gal.} \times 66,330 \text{ (BTU content per gallon)} \\ = 400 \text{ MMBTU}$$

$$C_{wa} = \frac{V \times P}{I_{MCF}} \quad (2)$$

$$C_{wa} = \frac{(285 \text{ MMBTU} [\text{propane}] + 171 \text{ MMBTU} [\text{butane}] + 687 \text{ MMBTU} [\text{natural gasoline}] + 400 \text{ MMBTU} [\text{ethane}] + 206 \text{ MMBTU} [\text{plant fuel}]) \times \$.20 [\text{price of residue gas}]}{3000 \text{ MCF} [\text{inlet gas}]} \quad (3)$$

$$C_{wa} = \frac{1749 \times \$.20}{3000 \text{ MCF}} \quad (4)$$

$$C_{wa} = \frac{\$349.80}{3000 \text{ MCF}} \quad (5)$$

$$C_{na} = \$12/\text{MCF}$$

B. Cost of Natural Gas Shrinkage for the Current Month of August 1975

(1) Conversion of liquid stream components to BTU value.

(a) Propane:

$$\begin{aligned} \text{BTU value} &= 1625 \text{ gal.} \times 91065 \text{ (BTU content per gallon)} \\ &= 148 \text{ MMBTU} \end{aligned}$$

(b) Butane:

$$\begin{aligned} \text{BTU value} &= 1000 \text{ gal.} \times 102,600 \text{ (BTU content per gallon)} \\ &= 103 \text{ MMBTU} \end{aligned}$$

(c) Natural Gasoline:

$$\begin{aligned} \text{BTU value} &= 3000 \text{ gal.} \times 110,000 \text{ (BTU content per gallon)} \\ &= 330 \text{ MMBTU} \end{aligned}$$

(d) Ethane:

$$\begin{aligned} \text{BTU value} &= 3999 \text{ gal.} \times 66,330 \text{ (BTU content per gallon)} \\ &= 265 \text{ MMBTU} \end{aligned}$$

$$C_{na} = \frac{V \times P}{I_{MCF}} \quad (1)$$

$$C_{na} = \frac{(148 \text{ MMBTU[propane]} + 103 \text{ MMBTU[butane]} + 330 \text{ MMBTU[natural gasoline]} + 265 \text{ MMBTU[ethane]} + 107 \text{ MMBTU[plant fuel]}) \times \$0.60 \text{ [price of residue gas]}}{1600 \text{ MCF [inlet gas]}} \quad (2)$$

$$C_{na} = \frac{953 \times \$0.60}{1600 \text{ MCF}} \quad (3)$$

$$C_{na} = \frac{\$571.8}{1600 \text{ MCF}} \quad (4)$$

$$C_{na} = \$0.36/\text{MCF} \quad (5)$$

C. Increased Cost of Natural Gas Shrinkage

$$\begin{aligned} & \left[\$0.36 \text{ per thousand cubic feet (current shrinkage cost)} - \$0.12 \text{ per thousand cubic feet (May 1973 shrinkage cost)} \right] \times 1,600 \text{ McF (current inlet gas)} \\ &= \$24/\text{MCF} \times 1600 \text{ MCF} \\ &= \$384.00 \end{aligned}$$

Some of the numbers in the above examples have been rounded off to simplify this ruling. Actual computations by firms subject to the FEA price rules should be carried out with maximum practicable accuracy.

NOVEMBER 24, 1975.

DAVID G. WILSON,
Acting General Counsel,
Federal Energy Administration.

[FR Doc.75-32343 Filed 11-26-75;10:17 am]

proposed rules

This section of the FEDERAL REGISTER contains notices to the public of the proposed issuance of rules and regulations. The purpose of these notices is to give interested persons an opportunity to participate in the rule making prior to the adoption of the final rules.

DEPARTMENT OF TRANSPORTATION

Federal Aviation Administration

[14 CFR Part 71]

[Airspace Docket No. 75-GI-64]

ESTABLISHMENT OF VOR FEDERAL AIRWAY

Notice of Proposed Rule Making

The Federal Aviation Administration (FAA) is considering an amendment to Part 71 of the Federal Aviation Regulations that would establish V-493 from Menominee, Mich., to Rhinelander, Wis.

Interested persons may participate in the proposed rule making by submitting such written data, views or arguments as they may desire. Communications should identify the airspace docket number and be submitted in triplicate to the Director, Great Lakes Region, Attention: Chief, Air Traffic Division, Federal Aviation Administration, 2300 East Devon, Des Plaines, Ill. 60018. All communications received on or before January 2, 1976 will be considered before action is taken on the proposed amendment. The proposal contained in this notice may be changed in the light of comments received.

An official docket will be available for examination by interested persons at the Federal Aviation Administration, Office of the Chief Counsel, Attention: Rules Docket, AGC-24, 800 Independence Avenue, SW., Washington, D.C. 20591. An informal docket also will be available for examination at the office of the Regional Air Traffic Division Chief.

The proposed amendment would establish an airway from Menominee direct to Rhinelander. This route is presently being used by a scheduled air carrier and its designation as an airway appears to be justified.

This amendment is proposed under the authority of Sec. 307(a) of the Federal Aviation Act of 1958 (49 U.S.C. 1348(a)) and Sec. 6(c) of the Department of Transportation Act (49 U.S.C. 1655(c)).

Issued in Washington, D.C., on November 25, 1975.

WILLIAM E. BROADWATER,
Chief, Airspace and Air
Traffic Rules Division.

[FR Doc. 75-32934 Filed 12-1-75; 8:45 am]

DEPARTMENT OF LABOR

Occupational Safety and Health Administration

[29 CFR Part 1910]

[Docket No. H-004]

OCCUPATIONAL EXPOSURE TO LEAD

Extension of Time To File Comments on Proposed Rule; Corrections

1. *Extension of time.* On October 3, 1975, notice was published in the Federal Register (40 FR 45934) of a proposed occupational safety and health standard for exposure to lead pursuant to the authority in sections 6(b) and 8(c) of the Occupational Safety and Health Act of 1970 (84 Stat. 1559, 1599; 29 U.S.C. 655, 657) and 29 CFR Part 1911. Interested persons were invited to submit data, views and arguments regarding the proposed standard and to file objections thereto, on or before December 2, 1975. In response to the notice, submissions have been received from several interested parties requesting additional time in which to file comments. Generally, the reasons given for the requests are that the issues raised by the proposed standard on lead are novel and complex and that affected parties are submitting comments on other recently published OSHA proposals as well. The requesting parties state that more time is essential in order to properly respond to the proposed standard on lead.

We find these requests and supporting rationale to have merit, and have decided to extend the period for the filing of comments and objections for approximately 45 additional days. Because of the need to prepare an inflationary impact statement and have it available for public comment in advance of any hearing, this extension of time will not unduly delay the standards-setting process. Therefore, notice is hereby given that the period for submitting written data, views, and arguments, as well as for the filing of objections and requests for an informal hearing on the proposed standard on lead, is extended from December 2, 1975 to January 16, 1976. As originally directed, such material must be submitted in quadruplicate to the Docket Officer, Docket H-004, U.S. Department of Labor, Room N-3620, 3rd and Constitution Avenue NW., Washington, D.C. 20210 (Telephone 202/523-8076). The data, views, and arguments will be available for public inspection and copying at the above address. All written submissions received

will be made a part of the record. In all other respects, the terms of the original notice remain in effect.

2. *Corrections.* In the proposed standard on lead (FR Doc. 75-26462) appearing at page 45934 in the Federal Register of Friday, October 3, 1975, the following corrections should be made:

In the first column of page 45942, references seven and eight are corrected to read as follows:

"7. Blejer, H. P.: Inorganic Lead: Biological Indices of Absorption (Biological Threshold Limit Values). National Conference on Occupational Lead and Arsenic Exposure, Chicago, Ill., (Feb. 24-25, 1975)."

8. Culver, D.: Epidemiological Considerations of Occupational Lead Exposure. National Conference on Occupational Lead and Arsenic Exposure, Chicago, Ill., (February 24-25, 1975)."

(Secs. 6, 8, 84 Stat. 1593, 1599 (29 U.S.C. 655, 657) and 29 CFR Part 1911).

Signed in Washington, D.C., this 26th day of November, 1975.

JOHN T. DUNLOP,
Secretary of Labor.

[FR Doc. 75-32413 Filed 12-1-75; 8:45 am]

[29 CFR Part 1910]

[Docket No. H-026]

OCCUPATIONAL EXPOSURE TO TOLUENE

Extension of Time To File Comments on Proposed Rule; Corrections

1. *Extension of time.* On October 6, 1975, notice was published in the Federal Register (40 FR 46206) of a proposed occupational safety and health standard for exposure to toluene, pursuant to the authority in sections 6(b) and 8(c) of the Occupational Safety and Health Act of 1970 (84 Stat. 1593, 1599; 29 U.S.C. 655, 657) and 29 CFR Part 1911. Interested persons were given until December 5, 1975, to submit written data, views, and arguments regarding the proposed standard and to file objections thereto. In response to the notice, interested parties have submitted requests for an extension of the period within which to file comments. The basis for the requests is that the issues raised by the proposal are complex, that additional time is needed to compile relevant data and information regarding the proposed standard, and that affected parties are also submitting comments on other recently

published OSHA proposals. The requesting parties state that additional time is necessary in order to submit appropriate comments on the proposed standard.

We find these requests and supporting rationale to have merit, and have decided to extend the period for the filing of comments and objections for approximately 45 additional days. Because of the need to prepare an inflationary impact statement, this extension of time will not unduly delay the standards-setting process. Therefore, notice is hereby given that the period for submitting written data, views and arguments, as well as for the filing of objections and requests for an informal hearing on the proposed standard on toluene, is extended from December 5, 1975 to January 20, 1976. As originally directed, such material must be submitted in quadruplicate to the Docket Officer, Docket H-026, U.S. Department of Labor, Room N-3620, 3rd and Constitution Avenue, NW., Washington, D.C. 20210 (Telephone 202/523-8076). The data, views, and arguments will be available for public inspection and copying at the above address. All written submissions received will be made a part of the record. In all other respects, the terms of the original notice remain in effect.

2. Corrections: In FR Doc. 75-26463, appearing in the issue of October 6, 1975, it is necessary to make the following corrections:

1. On page 46206, in the first column, line 12 of the first paragraph, the proposed toluene standard is designated as 29 CFR § 1910.1043, instead of 29 CFR § 1910.1029.

2. On page 46209, in the third column, in the quoted material following paragraph 2, the first word is corrected from "Some" to "(s)ome," and the last word in the quotation should read "analysis" instead of "judgments."

3. On page 46210, in the first column, the first paragraph is corrected to read:

Where appropriate, the standards are required to include provisions for labels or other forms of warning to apprise employees of hazards, suitable protective equipment, control procedures, monitoring and measuring of employee exposure, employee access to the results of monitoring, and appropriate medical examinations or other tests. Where medical examinations and other tests are appropriate, they must be made available at no cost to the employee. [Section 6(b)(7)] Standards may also prescribe recordkeeping requirements where necessary for appropriate enforcement of the Act or for developing information regarding occupational accidents and illnesses [Section 8(c)].

4. On page 46210, in the third column, paragraph 2, the first sentence is corrected to read: "OSHA has statistically determined that at any measurement exposure level below the permissible limit, some possibility exists that on unmeasured days the employee may be exposed over the permissible limit."

5. On page 46214, in column 3, the introduction and heading for proposed amendment 2 is corrected to read "§ 1910.1943" instead of "§ 1910.1029".

6. On page 46215, in column 3, proposed paragraphs (f) (1) (iv), (f) (1) (v), and (f) (1) (vi) are corrected so that they are designated as paragraphs (f) (1) (iv) (A), (f) (1) (iv) (B), and (f) (1) (v), respectively.

7. On page 46217, in the third column, line 2 of paragraph (o) (1) (ii) is corrected to read "One year" instead of "two years".

8. On page 46219, in paragraph II of Appendix C, the second sentence is corrected to read as follows: Eye contact or prolonged skin contact with liquid toluene can cause eye and skin irritation.

9. On page 46219, in paragraph VI of Appendix C, the last paragraph should be designated as "B. Periodic examinations", instead of "C. Periodic examinations"; and the second sentence of paragraph VI (B) should read as follows: These should include as a minimum a urinalysis, CBC, and a pulmonary function test.

(Secs. 6, 8, 84, Stat. 1593, 1599 (29 U.S.C. 655, 657) and 29 CFR Part 1911).

Signed at Washington, D.C. this 26th day of November, 1975.

JOHN T. DUNLOP,
Secretary of Labor.

[FR Doc. 75-32412 Filed 12-1-75; 8:45 am]

[29 CFR Part 1910]

[Docket No. SCP-2]

TOXIC SUBSTANCES

Extension of Time To File Comments; Period for Filing Objections and Corrections

In the matter of proposed standards for Alkyl Benzenes (p-tert-butyltoluene, cumene, ethyl benzene, alpha-methyl styrene, styrene, and vinyl toluene); cyclohexane; Ketones (camphor, mesityl oxide, and 5-methyl-3-heptanone); and Ozone.

On Wednesday, October 8, 1975 notice was published in the Federal Register (40 FR 47262) of proposed standards for eleven toxic substances (alkyl benzenes, cyclohexane, ketones, and ozone) pursuant to the authority in sections 6(b) and 8(c) of the Occupational Safety and Health Act of 1970 (84 Stat. 1593, 1599; 29 U.S.C. 655, 657), and 29 CFR Part 1911. The proposed standards were developed as part of the Joint OSHA/NIOSH Standards Completion Project.

A. Interested persons were invited to submit data, views and arguments regarding the proposed standards on or before December 1, 1975. In response to the notice, submissions have been received from several interested parties requesting additional time in which to file comments. Generally, the reasons given for the requests are that the issues raised by the proposed standards are novel and complex and that affected parties are submitting comments on other recently published OSHA proposals as well. The requesting parties state that more time is necessary to properly respond to the proposed standards on toxic substances.

We find these requests and supporting rationale to have merit, and have

decided to extend the period for the filing of comments for approximately 45 additional days. Because of the need to prepare inflationary impact statements and have them available for public comment in advance of any hearing, this extension of time will not unduly delay the standard-setting process. Therefore, notice is hereby given that the period for submitting written data, views, and arguments, is extended from December 1, 1975 to January 15, 1976. As originally directed, such material must be submitted in quadruplicate to the Docket Officer, Docket SCP-2, U.S. Department of Labor, Room N-3620, 200 Constitution Avenue, NW., Washington, D.C. 20210 (Telephone No. 202/423-8076). The data, views, and arguments will be available for public inspection and copying at the above address. All written submissions received will be made a part of the record. In all other respects, the terms of the original notice remain in effect.

B. Pursuant to 29 CFR 1911.11(b) and (c), interested persons may, in addition to filing written matter as provided above, file objections to these proposals, requesting an informal hearing with respect thereto in accordance with the following conditions:

(1) the objections must include the name and address of the objector;

(2) The objections must be postmarked on or before January 15, 1976;

(3) The objections must specify with particularity the provision of the proposed rules to which objection is taken, and must state the grounds therefor;

(4) Each objection must be separately stated and numbered; and

(5) The objections must be accompanied by a summary of the evidence proposed to be adduced at the requested hearing.

All objections should be submitted to the address given above for the submission of comments.

C. In the proposed standards on toxic substances (FR Doc. 75-26461) beginning at page 47262 in the FEDERAL REGISTER of October 8, 1975, the following corrections are made:

1. On page 47262, column 2, line 3 of the second paragraph from the bottom by correcting the CAS Registry Number for ethyl benzene from "100-42-5" to "100-41-4."

2. On page 47263, column 1, line 5 of the second full paragraph, is corrected by adding, after "CAS Registry Number 464-49-3," the following "(natural) 76-22-2 (synthetic)".

3. On page 47263, column 2, second line, the CAS Registry Number is corrected from "541-85-8" to "541-85-5".

4. On page 47263, column 2, first paragraph is corrected by changing "§ 1010.1000" to "§ 1910.1000".

5. On page 47265, column 1, line 2 of the third full paragraph, the term "NIOSH-MESA" is corrected to read "NIOSH or MESA".

6. On page 47266, column 2, line 7 of the second full paragraph from the bottom, the word "serve" is corrected to read "observe".

7. On page 47277, column 1, line 4 is corrected to add "(a) (4)," after "(a) (2)."

8. On page 47280, column 3, line 2 of the first full paragraph, is corrected by changing "alphanethyl" to "alpha-methyl".

9. On page 47284, column 1, line 6 of the first full paragraph in § 1910.1036, is corrected to add "(TWA)" after "(time weighted average)".

10. On page 47289, column 2, line 2 of the third full paragraph from the bottom, is corrected by changing "§ 190.178" to read "§ 1910.178".

11. On page 47301, column 1, line 4 of the third full paragraph, is corrected by changing "as or above" to read "at or above".

12. On page 47310, column 2, line one of the second full paragraph from the bottom, is corrected by changing "the ensure" to read "to ensure."

(Secs. 6, 8, 84 Stat. 1593 1599 (29 U.S.C. 655, 657) (and 29 CFR Part 1911).)

Signed at Washington, D.C. this 26th day of November, 1975.

JOHN T. DUNLOP,
Secretary of Labor.

[FR Doc.75-32414 Filed 12-1-75; 8:45 am]

ENVIRONMENTAL PROTECTION AGENCY

[40 CFR Part 6]

[FRL 463-3]

NEW SOURCE NPDES PERMITS, PREPARATION OF ENVIRONMENTAL IMPACT STATEMENTS

Extension of Comment Period

This notice extends the closing date for comments on the proposed Regulations for the Preparation of Environmental Impact Statements for New Source NPDES Permit issuance (40 FR 47714, October 9, 1975).

Requests for an extension of time were submitted by several persons having an interest in commenting. They argue that additional time is needed to review the notice in sufficient detail to provide meaningful comments.

In view of the requests, the Environmental Protection Agency has determined it is in the public interest that the period for comments on the proposed regulation be extended until December 19, 1975.

Dated: November 24, 1975.

STANLEY W. LEGRO,
Assistant Administrator for
Enforcement.

[FR Doc.75-32331 Filed 12-1-75; 8:45 am]

FEDERAL COMMUNICATIONS COMMISSION

[47 CFR Part 76]

[Docket No. 2056]

CABLE TELEVISION SYSTEM

Order Regarding Extension of Time

In the matter of amendment of part 76 of the Commission's rules and regula-

tions with respect to the definition of a cable television system and the creation of classes of cable systems.

1. The Motion Picture Association of America, Inc., has requested an extension of time to file reply comments in the captioned proceeding from November 28, 1975 to January 15, 1976 on the grounds that the proceedings is particularly complex and has far-reaching consequences, that the comments filed are lengthy and detailed, and that the additional time is necessary to analyze these comments.

2. In view of the complexity of this proceeding and the quantity of comments filed it appears that good cause exists for a time extension of approximately three weeks. Although this is less than the full extension requested it should provide adequate time for the preparation of reply comments.

Accordingly, it is ordered, That the date for filing reply comments in the captioned proceeding is extended to December 19, 1975.

This action is taken by the Chief, Cable Television Bureau pursuant to authority delegated by § 0.288(a) of the Commission's Rules.

Adopted: November 20, 1975.

Released: November 24, 1975.

FEDERAL COMMUNICATIONS
COMMISSION.

[SEAL] DAVID D. KINLEY,
Chief, Cable Television Bureau.

[FR Doc.75-32383 Filed 12-1-75; 8:45am]

SMALL BUSINESS ADMINISTRATION

[13 CFR Part 121]

SMALL BUSINESS SIZE STANDARDS

Definition of Term "Number of Employees"

Many of the Small Business Administration's definitions of small business are limitations on the "number of employees" that a concern may have in order to qualify as a small business.

Paragraph 121.3-2(t) of the Small Business Size Standards Regulation (Part 121, Chapter 1, Title 13 of the Code of Federal Regulations) provides the method for determining a concern's "number of employees". It reads as follows:

(t) "number of employees" means the average employment of any concern, including the employees of its domestic and foreign affiliates, based on the number of persons employed on a full-time, part-time, temporary, or other basis during the pay period ending nearest the last day of the third month in each calendar quarter for the preceding four quarters. If a concern has not been in existence for four full calendar quarters, "number of employees" means the average employment of such concern and its affiliates during the period such concern has been in existence based on the number of persons employed during the pay period ending nearest the last day of each month. If a concern has acquired an affiliate during the applicable accounting period it is necessary, in computing the applicant's number of employees, to include the affiliate's number of employees during the entire applicable accounting period rather than only its employees during the period in which it has been an affiliate. The employees of a former af-

filiate are not included even if such concern had been an affiliate during a portion of the applicable accounting period.

Pursuant to the above definition, a concern's "number of employees" is calculated by averaging the number of employees on only four of its payrolls in the most recently completed four calendar quarters. Recently, it came to our attention that under such circumstances a concern could defeat the intent of the regulation by temporarily dismissing employees so that they will not appear on one or more of the four payrolls utilized, and then rehiring them after the pertinent payroll periods have passed.

In order to prevent this unacceptable procedure, we propose to amend the regulation to provide that a concern's "number of employees" means the average employment of the concern based on the number of persons employed on a full-time, part-time, temporary or other basis during each of the pay periods of the preceding 12 months, provided, however, that, if the concern has been in business less than 12 months, the average shall be based on the number of persons employed in each of the pay periods of the period that such concern has been in business.

Accordingly, it is proposed to revise § 121.3-2(t) to read as follows:

§ 121.3-2 Definition of terms used in this part.

(t) "Number of employees" means the average employment of any concern, including the employees of its domestic and foreign affiliates, based on the number of persons employed on a full-time, part-time, temporary, or other basis during each of the pay periods of the preceding 12 months. Provided, however, if for the purpose of determining a concern's eligibility for financial assistance under a Small Business Administration program, it is determined that a concern's employment in its most recently completed calendar quarter is at least 25 percent lower than its employment in the corresponding quarter in the preceding calendar year and that such reduction in employment was primarily due to the shortage of energy or materials its "number of employees" for size determination purposes shall be determined by reducing its average employment for the preceding 12 months by the determined percentile. If a concern has not been in existence for 12 months, "number of employees" means the average employment of such concern and its affiliates during the period of such concern has been in existence based on the number of persons employed during each of the pay periods of the period that such concern has been in business. If a concern has acquired an affiliate during the applicable accounting period, it is necessary, in computing the applicant's number of employees, to include the affiliate's number of employees during the entire applicable accounting period rather than only its employees during the period in which it has been an affiliate. The employees of a former affiliate are not included even if such concern had been an

affiliate during a portion of the applicable accounting period.

Interested parties may file with the Small Business Administration on or before January 2, 1976 written statements of facts, opinions, or arguments concerning the proposal. All correspondence shall be addressed to:

William L. Pellington, Director, Size Standards Division, Small Business Administration, 1441 I Street, NW., Washington, D.C. 20416.

(All SBA programs listed in the Catalog of Federal Domestic Assistance Programs under Nos. 59.001-59.018)

Dated: November 20, 1975.

LOUIS F. LAUN,
Acting Administrator.

[FR Doc. 75-32358 Filed 12-1-75; 8:45 am]

DEPARTMENT OF HEALTH,
EDUCATION, AND WELFARE

Food and Drug Administration

[21 CFR Part 31C]

[Docket No. 75N-0335]

LEVODOPA

Revocation of Requirement of Continuation of Long-Term Studies, Records, and Reports

Correction

In FR Doc. 75-31454 appearing at page 54252 in the issue for Friday, November 21, 1975, the comment date appearing in the next to the last paragraph which presently reads "January 20, 1975" should read "January 20, 1976".

notices

This section of the FEDERAL REGISTER contains documents other than rules or proposed rules that are applicable to the public. Notices of hearings and investigations, committee meetings, agency decisions and rulings, delegations of authority, filing of petitions and applications and agency statements of organization and functions are examples of documents appearing in this section.

DEPARTMENT OF THE TREASURY

Bureau of Alcohol, Tobacco and Firearms

FIREARMS

Granting of Relief

Notice is hereby given that pursuant to 18 U.S.C. Section 925(c), the following named persons have been granted relief from disabilities imposed by Federal laws with respect to the acquisition, transfer, receipt, shipment, or possession of firearms incurred by reason of their convictions of crimes punishable by imprisonment for a term exceeding one year.

It has been established to my satisfaction that the circumstances regarding the convictions and each applicant's record and reputation are such that the applicants will not be likely to act in a manner dangerous to public safety, and that the granting of the relief will not be dangerous to the public interest.

Albaugh, Gerald Lee, Box 196, Bucoda, Washington, convicted on April 25, 1963, in the Superior Court, State of Washington, Lewis County.

Bliss, David C., 210 West Alden, Arlington, Minnesota, convicted on March 4, 1970, in the First Judicial District Court, Sibley County, Minnesota.

Brown, Tracy Delbert, Route 2, Box 89, Greenup, Kentucky, convicted on April 27, 1971, in the United States District Court, Catlettsburg, Kentucky.

Burgess, Arthur P., Jr., 9744 Holmur, Detroit, Michigan, convicted on February 3, 1960, in the Criminal Court, Anderson County, Tennessee.

Coleman, Warren S., Route #1, Box 89D, Hanover, Virginia, convicted on October 22, 1971, in the Circuit Court of Caroline County, Virginia.

Confoey, Clarence James, Jr., 2551 Tod Avenue, SW, Warren, Ohio, convicted on June 17, 1959, in the Superior Court, Bristol County, Massachusetts; and on November 14, 1968, in the Trumbull County Court of Common Pleas, State of Ohio.

Copeland, Clyde W., 1343-41st Street, Norfolk, Virginia, convicted on September 12, 1946, and on September 27, 1946, in the Norfolk Corporation Court, Norfolk, Virginia.

DelVecchio, Jonathan Ray, 700 South 2nd, Sioux Falls, South Dakota, convicted on April 26, 1973, in the Minnehaha County Circuit Court, Sioux Falls, South Dakota.

Dorsey, Julius E., 2404 W. 141st Street, Gardena, California, convicted on August 15, 1961, in the Superior Court, Los Angeles County, California.

Paul, Jack G., 18 Robindale Mobile Park, Minot, North Dakota, convicted on or about March 22, 1973, in the District Court, Fifth Judicial District, Ward County, North Dakota.

Fields, James E., 3807 Eton Road, Huntsville, Alabama, convicted on September 22, 1966, in the Madison County Circuit Court, Huntsville, Alabama.

Goode, Richard Marcus, 3111 Fernway Court, Montgomery, Alabama, convicted on November 8, 1973, in the United States District Court for the Middle District of Alabama, Northern Division.

Harding, Andrew Lee, 1801 E. 11th Street, Wichita, Kansas, convicted on May 15, 1942, in the District Court of Sedgewick County, Kansas.

Herson, Arnold Ray, 309 Oak Street, Laurens, Iowa, convicted on November 13, 1962, in the Superior Court, State of Arizona, County of Puma.

Hickman, Stephen R., 421 North Nebraska, Minden, Nebraska, convicted on October 12, 1972, in the Kearney County District Court, Nebraska.

Hill, Ronald A., 706 Pruitt Street, Kennett, Missouri, convicted on August 8, 1969, in the Circuit Court of Dunklin County, Missouri.

Huffman, Donald B., 4844 Terrace Road, Birmingham, Alabama, convicted on November 8, 1971, and on November 10, 1971, in the Alabama Circuit Court of Baldwin County.

Hysick, Ronald J., 7793 Vicki Lane, Baldwinsville, New York, convicted on or about January 30, 1968, in the County Court, Onondaga County, New York.

Johnson, Herbert E., 1587 Briarfield Road, Hampton, Virginia, convicted on November 8, 1940, in the District Court, Division A, Parish of Rapides, Alexandria, Louisiana; and on April 1, 1965, in the United States District Court, Eastern Division, New York.

Johnson, Richard A., Route 1, Box 76A, Donahue, Iowa, convicted on January 18, 1971, in the District Court of Douglas County, Nebraska.

Journigan, Lloyd C., Jr., 12530 Easy Street, Chester, Virginia, convicted on or about August 4, 1960, in the Circuit Court of Southampton County, Courtland, Virginia.

Kelly, Arlis Wesley, Route 1, Delmar, Alabama, convicted on May 10, 1972, in the United States District Court, Northern Judicial District of Alabama, Birmingham.

Kramer, James W., 1014 Spring Street, Warren, Pennsylvania, convicted on August 26, 1940, in the Clearfield County Court, Clearfield, Pennsylvania.

Lare, Charles E., 306 Highland Avenue, Upper Darby, Pennsylvania, convicted on November 21, 1955, in the Court of Common Pleas, Philadelphia, Pennsylvania; and on September 19, 1961, in the Court of Oyer and Terminer for the County of Delaware, Pennsylvania.

Laundra, Hugh, 4743 Mackinaw Road, Saginaw, Michigan, convicted on May 24, 1973, in the United States District Court, Eastern District of Michigan, Northern Division, Bay City.

Leitch, Daniel W., 1208 Ida Avenue, Flint, Michigan, convicted on March 11, 1971, in the Circuit Court, Genesee County, Michigan.

Lipscomb, Weston L., No. 2 Laurel Drive, Enola, Pennsylvania, convicted on January 16, 1948, in the Franklin County Court of Quarter Sessions, Chambersburg, Pennsylvania.

Lumley, Richard Gaylon, Lot 23, J & L Mobile Homes, Holt's Summit, Missouri, convicted on November 19, 1963, in the Superior Court of Orange County, California; and on December 12, 1966, in the Circuit Court of Crawford County, Missouri.

Macormic, Donald, P.O. Box 113, Newburg, Missouri, convicted on June 1, 1973, in the Phelps County Circuit Court, Rolla, Missouri.

Mark, Richard Carl, 411 Lafayette Park Place, Los Angeles, California, convicted on or about November 19, 1963, in the Superior Court, Los Angeles, California.

Medlock, Carl D., 401 Main Street, Cave City, Arizona, convicted on February 6, 1973, in the United States District Court, Eastern District of Arkansas, Northern Division.

Mellahn, Arlin R., 1631 Burek Avenue, Wausau, Wisconsin, convicted on August 14, 1972, in the Circuit Court of Marathon County, Wausau, Wisconsin.

Miller, Kerry D., 2238 East 4500 South, Salt Lake City, Utah, convicted on March 19, 1973, in the District Court, Third Judicial District, State of Idaho.

Morgan, Billy Gene, Route 8, Box 51F, Andalusia, Alabama, convicted on March 19, 1971, in the Conecuh County Court, Evergreen, Alabama.

Nicholson, Herman Dillard, Route #1, Box 349, Wirtz, Virginia, convicted on June 7, 1954, in the United States District Court, Lynchburg, Virginia.

Ondrejka, Dallas R., 121 West Gilman Street, Madison, Wisconsin, convicted on July 9, 1970, in the County Court, Dane County, Wisconsin.

Oshimo, Melvin E., 330 West Hardy, Inglewood, California, convicted on July 13, 1962, in the Circuit Court of the First Circuit, Hawaii.

Peters, Kenneth N., Route 1, Box 165-A, Ferum, Virginia, convicted on November 13, 1956, in the United States District Court, Roanoke, Virginia; and on November 9, 1959, in the United States District Court, Roanoke, Virginia.

Price, Jack, Route 1, Box 161-D, Tallassee, Alabama, convicted on April 28, 1971, in the United States District Court, Middle District of Alabama, Montgomery.

Poorman, Paul E., RR #2, Spencer, Indiana, convicted on May 17, 1954, Green County, Bloomfield, Indiana.

Rhodes, James Lawrence, RR 2, Mediapolis, Iowa, convicted on December 4, 1972, in the Circuit Court, Putnam County, Missouri.

Riggs, John A., 2811 South 8400 West, Magna, Utah, convicted on April 28, 1969, and on November 18, 1970, in the Superior Court, Los Angeles County, California.

Rutherford, John R., 340 1/2 East Park Street, Marquette, Michigan, convicted in April 1968, in the Circuit Court, Wayne County, Michigan; and in October 1969, in the Hillsborough County Court, Tampa, Florida; and on or about August 28, 1972, in the Circuit Court, Marquette County, Marquette, Michigan.

Sandlin, Gary M., 3901 Shoreline Drive, Somerset, Kentucky, convicted on November 5, 1971, in the District Court of the First Judicial District, Kootenai County, Idaho.

Schroering, Jerome M., 1215 South Stockwell Road, Evansville, Indiana, convicted on July 27, 1973, in the United States District Court for the Southern District of Indiana, Indianapolis Division.

Simonte, Domenico, 18090 Ego, East Detroit, Michigan, convicted on July 25, 1968, in the Recorder's Court, City of Detroit, Michigan.

Smith, Thomas P., 620 LaFayette Street, Kennett Square, Pennsylvania, convicted on March 26, 1958, in the United States District Court, Southern District of Florida.

Stober, James J., 10605 Izard Street, Omaha, Nebraska, convicted on April 13, 1965, in the County Court, Jefferson County, Colorado.

Taylor, Jay Harold, Four Detroit Street, Asheville, North Carolina, convicted on November 8, 1971, in the United States District Court, Western District of North Carolina.

Wesson, John R., 2040 Madison Street, Gary, Indiana, convicted on or about August 18, 1972, in the United States District Court for the Northern District of Indiana, Hammond Division.

Williams, Anthony L., 2845 North Walnut Street, Columbus, Georgia, convicted on March 1, 1968, in the Muscogee Superior Court, Muscogee County, Georgia.

Winders, John M., 1422 Osceola Street, Des Moines, Iowa, convicted on April 12, 1967, in the District Court of Douglas County, Nebraska; on March 19, 1969, in the District Court of Polk County, Iowa; on January 15, 1973, in the United States District Court, Des Moines, Iowa.

Signed at Washington, D.C. this 17th day of November 1975.

REX D. DAVIS,
Director, Bureau of Alcohol,
Tobacco and Firearms.

[FR Doc.75-32380 Filed 12-1-75;8:45 am]

Comptroller of the Currency

NATIONAL ADVISORY COMMITTEE ON BANKING POLICIES AND PRACTICES Meeting

The National Advisory Committee on Banking Policies and Practices will hold a meeting on December 15, 1975 at Marriott's Lincolnshire Resort, Lincolnshire, Illinois. The sessions will be from 9:00 a.m. until 12 noon and from 1:30 p.m. until 3:00 p.m. Both sessions will be open to the public. Interested members of the public will be admitted on a first come basis.

The topics to be discussed include the implementation of the Haskins & Sells Report, the CBCT developments, EFTS, and a discussion on the economy.

Persons or groups planning to make statements over five minutes in length must submit three copies to Mr. Palmer C. Hamilton, Office of the Comptroller of the Currency, Washington, D.C. 20219, prior to December 5, 1975.

Dated: November 25, 1975.

[SEAL] JAMES E. SMITH,
Comptroller of the Currency.

[FR Doc.75-32397 Filed 12-1-75;8:45 am]

DEPARTMENT OF DEFENSE

Department of the Army CIVIL WORKS ADVISORY COMMITTEE

Establishment, Organization and Functions

In accordance with the provisions of Public Law 92-463, Federal Advisory Committee Act, notice is hereby given that the Civil Works Advisory Committee has been found to be in the public interest in connection with the performance of duties imposed on the Department of Defense by law. The Office of Management and Budget has also reviewed the justification for this advisory committee and concurs with its establishment. The nature and purpose of the Civil Works Advisory Committee is to advise the Secretary of the Army on ways to improve the Civil Works Program of the Corps of Engineers. Specifically, it will advise how the Corps of Engineers can shorten the time span from project inception to project completion by developing an approach to early identification of those civil works projects which are feasible, economically and environmentally sound, and have public support for early funding. The goal of the recommendations of the Committee will be to provide better efficiency and less cost in the administration of the Civil Works Program and better responsiveness to public concerns; thereby, it is in the public interest that the Committee be established.

The Committee will meet three to six times during its existence, at times convenient to the majority of the members.

To obtain balanced membership, the Committee will be composed of thirteen members selected from government, education, and the civilian business community. Members will represent a variety of disciplines (education, engineering, consulting, environmental protection, construction, retail sales, management and law). Members will be selected on the basis of their expressed interest in the project and their qualifications and will serve for a period not to exceed 12 months.

The Civil Works Advisory Committee will terminate 12 months from this date unless terminated sooner. There are no existing committees which will duplicate the functions of this Committee.

The Civil Works Advisory Committee will operate in complete accordance with P.L. 92-463, the "Federal Advisory Committee Act."

Dated: November 26, 1975.

MAURICE W. ROCHE,
Director, Correspondence and
Directives, OASD (Comptroller).

[FR Doc.75-32404 Filed 12-1-75;8:45 am]

DEPARTMENT OF THE INTERIOR

Bureau of Land Management

[Oil and Gas Lease Sale No. 35]

OUTER CONTINENTAL SHELF OF SOUTHERN CALIFORNIA Withdrawal of Certain Acreage

A notice in the FEDERAL REGISTER of November 6, 1975, Vol. 40, No. 215, at

page 51672, announced a sale of oil and gas leases on lands offshore Southern California pursuant to the Outer Continental Shelf Lands Act (43 U.S.C. 1331-1343) and the regulations issued thereunder (43 CFR Part 3300).

The purpose of this notice is to withdraw certain acreage from three of the tracts listed in the notice published on November 6 at page 51675. The following portions are hereby withdrawn:

1. Tract 35-247: withdraw NE $\frac{1}{4}$ NE $\frac{1}{4}$.
The acreage remaining in Tract 35-247 is approximately 5125 acres.

2. Tract 35-248: withdraw all of Block 35N36W and withdraw from Block 35N36W N $\frac{1}{2}$ NW $\frac{1}{4}$.

The acreage remaining in Tract 35-248 is approximately 3510 acres.

3. Tract 35-256: withdraw all of Block 35N35W and withdraw from Block 34N35W N $\frac{1}{2}$ NW $\frac{1}{4}$ SE $\frac{1}{4}$ NW $\frac{1}{4}$ SW $\frac{1}{4}$ NE $\frac{1}{4}$ N $\frac{1}{2}$ SE $\frac{1}{4}$.

The acreage remaining in Tract 35-256 is 2520 acres.

CURT BERKLUND,
Director,
Bureau of Land Management.

Approved: November 26, 1975.

STANLEY D. DOREMUS
Deputy Assistant
Secretary of the Interior.

[FR Doc.75-32489 Filed 12-1-75;8:45 am]

Office of Hearings and Appeals

[Docket No. M 76-27]

PENN ALLEIGH COAL CO., INC.

Petition for Modification of Application of Mandatory Safety Standard

Notice is hereby given that in accordance with the provisions of section 301 (c) of the Federal Coal Mine Health and Safety Act of 1969, 30 U.S.C. 861(c) (1970), Penn Allegh Coal Co., Inc., has filed a petition to modify the application of 30 CFR 75.1710-1(a) to its Allegheny No. 2 Mine located in Allegheny and Butler Counties, Pennsylvania.

30 CFR 75.1710-1(a) provides:

(a) Except as provided in paragraph (f) of this section, all self-propelled electric face equipment, including shuttle cars, which is employed in the active workings of each underground coal mine on and after January 1, 1973, shall, in accordance with the schedule of time specified in subparagraphs (1), (2), (3), (4), (5), and (6) of this paragraph (a), be equipped with substantially constructed canopies or cabs, located and installed in such a manner that when the operator is at the operating controls of such equipment he shall be protected from falls of roof, face, or rib, or from rib and face rolls. The requirements of this paragraph (a) shall be met as follows:

(1) On and after January 1, 1974, in coal mines having mining heights of 72 inches or more;

(2) On and after July 1, 1974, in coal mines having mining heights of 60 inches or more, but less than 72 inches;

(3) On and after January 1, 1975, in coal mines having mining heights of 48 inches or more, but less than 60 inches;

(4) On and after July 1, 1975, in coal mines having mining heights of 36 inches or more, but less than 48 inches;

(5) On and after January 1, 1976, in coal mines having mining heights of 36 inches or more, but less than 48 inches;

(6) On and after July 1, 1976, in coal mines having mining heights of less than 24 inches.

In support of its petition, Petitioner states:

1. Petitioner respectfully requests the modification of the application of the mandatory safety standard 30 CFR 75.1710-1(a) with respect to the subject mine for the reason that the application of such standard will result in a diminution of safety to the miners.

2. Petitioner avers that technology does not presently exist to enable it to equip its self-propelled electric face equipment with suitable canopies to protect and provide for the safety of the operators of said equipment. Petitioner further avers that based upon its recent experience with presently available canopies, the use of these canopies results in a diminution of safety to the miners in said mines. Petitioner's experience indicated the following:

(a) While canopies of the type specified had the necessary height clearance most of the time during mining under normal conditions, the necessary clearance diminished to zero when either the bottom or the full seam undulated or when rolls in the coal seam were encountered. Several canopies were torn off when they became wedged against the roof. While in such instances the operators of the equipment quite miraculously escaped harm, the further use of these canopies inevitably will cause injuries to the operators.

(b) When operating with the available canopies, the operator's vision is severely impaired to the point that operation of the equipment becomes hazardous to the operator and to all other persons in the working area.

(c) Due to the combination of the severely limited vision and close confinement in the cab, appendages of the operator's body, such as his head or feet, hang out in such manner that they are in jeopardy of being crushed between the equipment and the coal rib. In one instance the head of an operator became pinched between the equipment and the coal rib.

(d) Ingress to and egress from the cab is so limited that the operator is held captive, and cannot escape when the action of the roof clearly would warrant such retreat.

(e) Because of close confinement in the cabs and severely limited ingress to and egress from the cab under the canopies, operators repeatedly attempt to manipulate the controls from outside the equipment while standing between the equipment and the rib, thus incurring the risk of being crushed.

(f) In case of machine malfunction, cable damage, or power failure of any kind, the operators of the equipment may be held captive by the canopies for an indefinite period, depending on the circumstances.

(g) The operators of this type of equipment are under fully supported roof at all times provided by an approved full-roof bolting plan. Such roof support is deemed satisfactory for all other personnel in the mine, including the

helpers on self-propelled electric face equipment, such as the continuous miner and the bolter. The helpers and other supporting personnel freely move around adjacent to the equipment under the protection of the proper roof support. Hence the addition of canopies of the type presently available rather than providing additional safety for the operators, introduces an instrument capable of inflicting serious bodily harm or death when the necessary clearance is reduced to zero.

3. Petitioner avers that the subject mine has not experienced roof falls in the face area nor rib and face rolls, that secondary mining is rarely practiced and that no more than 60 percent to 65 percent of the recoverable coal is removed, leaving the balance for support.

4. Petitioner avers that with respect to low-ceiling mines, the use of currently available canopies with mobile electrical face equipment severely diminishes rather than increases the overall safety of the miners.

Persons interested in this petition may request a hearing on the petition or furnish comments on or before January 2, 1976. Such requests or comments must be filed with the Office of Hearings and Appeals, Hearings Division, U.S. Department of the Interior, 4015 Wilson Boulevard, Arlington, Virginia 22203. Copies of the petition are available for inspection at that address.

JAMES R. RICHARDS,
Director,
Office of Hearings and Appeals.

NOVEMBER 24, 1975.

[FR Doc. 75-32360 Filed 12-1-75; 8:45 am]

[Docket No. M 76-26]

RUSHTON MINING CO.

Petition for Modification of Application of Mandatory Safety Standard

Notice is hereby given that in accordance with the provisions of section 301(c) of the Federal Coal Mine Health and Safety Act of 1969, 30 U.S.C. 861(c) (1970), Rushton Mining Company has filed a petition to modify the application of 30 CFR 75.1710 to its Rushton Mine, Phillipsburg, Pennsylvania.

30 CFR 75.1710 provides:

An authorized representative of the Secretary may require in any coal mine where the height of the coalbed permits that electric face equipment, including shuttle cars, be provided with substantially constructed canopies, or cabs, to protect the miners operating such equipment from roof falls and from rib and face rolls.

In support of its petition, Petitioner states:

1. Petitioner contacted the manufacturer of its roof bolting equipment and purchased from said manufacturer canopies accepted by the Mining Enforcement and Safety Administration which canopies were duly installed and utilized by the work force.

2. Subsequent to the installation of these canopies, the operators attempted to utilize the equipment and were un-

able to do so because the equipment, due to the position of the canopy, was unable to be moved and as a result the roof bolter operators refused to continue work.

3. Attempts to modify the canopies so as to comply with the appropriate regulations created additional hazards to the miners and resulted in the diminution of safety.

4. The inherent danger which arose as a result of these attempts to modify the canopies necessitated their removal.

As a result of conferences held with MESA officials, the canopies were removed and an extension of time was granted in which to provide a workable alternative.

5. At present, Petitioner is unaware of any proposed commercial manufactured canopy which could be installed and utilized by the workers which would provide the same degree of safety to the miners as the complete removal of the canopy would insure.

6. The operation of the roof bolting equipment without the canopy will afford the same measure of protection to the miners as would be afforded by compliance with the standard and said use would, in fact, increase the measure of protection and diminish the possibility of injury by utilization of the protective canopy.

Persons interested in this petition may request a hearing on the petition or furnish comments on or before January 2, 1976. Such requests or comments must be filed with the Office of Hearings and Appeals, Hearings Division, U.S. Department of the Interior, 4015 Wilson Boulevard, Arlington, Virginia 22203. Copies of the petition are available for inspection at that address.

JAMES R. RICHARDS,
Director,
Office of Hearings and Appeals.

NOVEMBER 24, 1975.

[FR Doc. 75-32359 Filed 12-1-75; 8:45 am]

[Docket No. M 76-28]

TESONE COAL CO.

Petition for Modification of Application of Mandatory Safety Standard

Notice is hereby given that in accordance with the provisions of section 301(c) of the Federal Coal Mine Health and Safety Act of 1969, 30 U.S.C. 861(c) (1970), Tesone Coal Company has filed a petition to modify the application of 30 CFR 75.1710-1(a) to its Nan-Lee Mine located in Armstrong County, Pennsylvania.

30 CFR 75.1710-1(a) provides:

(a) Except as provided in paragraph (f) of this section, all self-propelled electric face equipment, including shuttle cars, which is employed in the active workings of each underground coal mine on and after January 1, 1973, shall, in accordance with the schedule of time specified in subparagraphs (1), (2), (3), (4), (5), and (6) of this paragraph (a), be equipped with substantially constructed canopies or cabs, located and installed in such a manner that when the operator is at the operating controls of such equipment he shall be protected from falls of

roof, face, or rib, or from rib and face rolls. The requirements of this paragraph (a) shall be met as follows:

- (1) On and after January 1, 1974, in coal mines having mining heights of 72 inches or more;
- (2) On and after July 1, 1974, in coal mines having mining heights of 60 inches or more, but less than 72 inches;
- (3) On and after January 1, 1975, in coal mines having mining heights of 48 inches or more, but less than 60 inches;
- (4) On and after July 1, 1975, in coal mines having mining heights of 36 inches or more, but less than 48 inches;
- (5) On and after January 1, 1976, in coal mines having mining heights of 36 inches or more, but less than 48 inches;
- (6) On and after July 1, 1976, in coal mines having mining heights of less than 24 inches.

In support of its petition, Petitioner states:

1. Petitioner respectfully requests the modification of the application of the mandatory safety standard 30 CFR 75.1710-1(a) with respect to the subject mine for the reason that the application of such standard will result in a diminution of safety to the miners.

2. Petitioner avers that technology does not presently exist to enable it to equip its self-propelled electric face equipment with suitable canopies to protect and provide for the safety of the operators of said equipment. Petitioner further avers that based upon its recent experience with presently available canopies, the use of these canopies results in a diminution of safety to the miners in said mines. Petitioner's experience indicated the following:

(a) While canopies of the type specified had the necessary height clearance most of the time during mining under normal conditions, the necessary clearance diminished to zero when either the bottom or the full seam undulated or when rolls in the coal seam were encountered. Several canopies were torn off when they became wedged against the roof. While in such instances the operators of the equipment quite miraculously escaped harm, the further use of these canopies inevitably will cause injuries to the operators.

(b) When operating with the available canopies, the operator's vision is severely impaired to the point that operation of the equipment becomes hazardous to the operator and to all other persons in the working area.

(c) Due to the combination of the severely limited vision and close confinement in the cab, appendages of the operator's body, such as his head or feet, hang out in such manner that they are in jeopardy of being crushed between the equipment and the coal rib. In one instance the head of an operator became pinched between the equipment and the coal rib.

(d) Ingress to and egress from the cab is so limited that the operator is held captive, and cannot escape when the action of the roof clearly would warrant such retreat.

(e) Because of close confinement in the cabs and severely limited ingress to and egress from the cab under the canopies, operators repeatedly attempt to

manipulate the controls from outside the equipment while standing between the equipment and the rib, thus incurring the risk of being crushed.

(f) In case of machine malfunction, cable damage, or power failure of any kind, the operators of the equipment may be held captive by the canopies for an indefinite period, depending on the circumstances.

(g) The operators of this type of equipment are under fully supported roof at all times provided by an approved full-roof bolting plan. Such roof support is deemed satisfactory for all other personnel in the mine, including the helpers on self-propelled electric face equipment, such as the continuous miner and the bolter. The helpers and other supporting personnel freely move around adjacent to the equipment under the protection of the proper roof support. Hence the addition of canopies of the type presently available rather than providing additional safety for the operators, introduces an instrument capable of inflicting serious bodily harm or death when the necessary clearance is reduced to zero.

3. Petitioner avers that the subject mine has not experienced roof falls in the face area nor rib and face rolls, that secondary mining is rarely practiced and that no more than 60 percent to 65 percent of the recoverable coal is removed, leaving the balance for support.

4. Petitioner avers that with respect to low-ceiling mines, the use of currently available canopies with mobile electrical face equipment severely diminishes rather than increases the overall safety of the miners.

Persons interested in this petition may request a hearing on the petition or furnish comments on or before January 2, 1976. Such requests or comments must be filed with the Office of Hearings and Appeals, Hearings Division, U.S. Department of the Interior, 4015 Wilson Boulevard, Arlington, Virginia 22203. Copies of the petition are available for inspection at that address.

JAMES R. RICHARDS,
Director,
Office of Hearings and Appeals.

NOVEMBER 24, 1975.
[FR Doc. 75-32361 Filed 12-1-75; 8:45 am]

National Park Service NATIONAL REGISTER OF HISTORIC PLACES

Additions, Deletions, and Corrections

By notice of the FEDERAL REGISTER of February 4, 1975, Part II, there was published a list of the properties included in the National Register of Historic Places. Further notice is hereby given that certain amendments or revisions in the nature of additions, deletions, or corrections to the previously published list are adopted as set out below.

It is the responsibility of all Federal agencies to take cognizance of the properties included in the National Register as herein amended and revised in accord-

ance with section 106 of the National Historic Preservation Act of 1966, 80 Stat. 915, 16 U.S.C. 470 et seq. (1970 ed.), and the procedures of the Advisory Council on Historic Preservation, 36 CFR Part 800.

The following properties have been added to the National Register of Historic Places since November 4, 1975. National Historic Landmarks are designated by NHL; properties recorded by Historic American Buildings Survey are designated by HABS; properties recorded by Historic American Engineering Record are designated by HAER:

ARIZONA

Apache County

Navajo vicinity, Painted Desert Inn, W of Navajo in Petrified Forest National Park (10-10-75).

Mohave County

Colorado City vicinity, Antelope Cave, 17 mi. SW of Colorado City off AZ 389 (10-10-75).

Navajo County

Holbrook vicinity, Agate House Pueblo, E of Holbrook in Petrified Forest National Park (10-6-75).

Pima County

Tucson vicinity, Cocoraque Butte Archeological District, W of Tucson (10-10-75).

Yuma County

Yuma vicinity, San Ysidro Hacienda, E of Yuma off U.S. 95 (10-10-75).

ARKANSAS

Saline County

Benton, Gann Building, 218 S. Market St. (10-21-75).

Benton, Shoppach House, 508 N. Main St. (10-10-75).

CALIFORNIA

Inyo County

Bishop vicinity, Pawona Witu, E of Bishop at jct. of Poleta and Airport Rds. (10-14-75).

Mariposa County

Wawona, Wawona Hotel and Pavilion, on CA 41 in Yosemite National Park (10-1-75).

Monterey County

Carmel, Jeffers, Robinson, House, 26304 Ocean View Ave. (10-10-75).

San Diego County

San Diego, Sorrento Valley Site, Sorrento Valley Rd. (10-21-75).

San Francisco County

San Francisco, Alma (sloop schooner), 2905 Hyde St. (Hyde St. pier) (10-10-75).

San Mateo County

Hillsborough, The Carolands, 565 Remillard Dr. (10-21-75).

COLORADO

Rio Blanco County

Rangely vicinity, Canon Pintado, 12 mi. S of Rangely on CO 139 (10-6-75).

CONNECTICUT

Hartford County

Hartford, Congress Street, both sides of Congress St. from Wyllys to Morris Sts. (10-6-75).

NOTICES

New Haven County

Branford, *Swein-Harrison House*, 124 W. Main St. (10-10-75) HABS.
 Guilford, *Griswold House*, Boston St. (10-10-75).
 Guilford, *Sabbathday House*, 19 Union St. (10-10-75) HABS.

FLORIDA

Escambia County

Pensacola, *Ft. San Carlos de Barrancas*, U.S. Naval Air Station (10-15-66) (erroneously removed from National Register).

GEORGIA

Monroe County

Macon vicinity, *Montpelier Female Institute*, W of Macon (10-10-75).

Thomas County

Thomasville, *Thomasville Historic District*, irregular pattern extending N to North Blvd., S to Loomis, E to Hansell, and W to Oak St. (10-10-75).

Walton County

Good Hope vicinity, *Casolin Plantation*, E of Good Hope off GA 186 (10-10-75) HABS.

ILLINOIS

Pike County

Griggsville vicinity, *Naples Mound 8*, E of Griggsville (10-14-75).

INDIANA

Lake County

Merrillville vicinity, *Wood, John, Old Mill*, E of Merrillville on IL 330 (10-10-75).

LaPorte County

Michigan City, *Barker, John H., Mansion*, 631 Washington St. (10-10-75).

Porter County

Porter vicinity, *Bailly, Joseph, Homestead*, 0.5 mi. W of Porter on U.S. 20 (12-29-62) erroneously removed from the National Register).

Rush County

Rushville, *Rush County Courthouse*, Courthouse Square (10-10-75).

Wayne County

Centerville, *Morton, Oliver P., House*, 319 W. Main St. (10-10-75).

Richmond, *Earlham College Observatory*, National Rd., Earlham College campus (10-21-75).

Richmond, *Scott, Andrew F., House*, 126 N. 10th St. (10-10-75).

Richmond, *Hicksite Friends Meetinghouse* (Wayne County Museum), 1150 N. A St. (10-14-75).

White County

Wolcott, *Wolcott House*, 500 N. Range St. (10-10-75).

IOWA

Dubuque County

Dubuque, *Langworthy House* (Octagon House), 1095 W. 3rd St. (10-14-75) HABS.

Lee County

Keokuk, *Belknap, Gen. William Worth, House*, 511 N. 3rd St. (10-10-75).

KENTUCKY

Boone County

Burlington, *Chambers, Robert, House*, 301 E. Bend Rd. (10-10-75).

Edmonson County

Mammoth Cave, *Hercules and Coach #2*, off KY 70 in Mammoth Cave National Park (10-10-75).

Fayette County

Lexington vicinity, *Elam Mound Archeological Site*, N of Lexington (10-10-75).
 Lexington vicinity, *Mt. Horeb Earthworks*, Unit A, N of Lexington (10-10-75).

Jefferson County

Louisville, *Hikes-Hunsinger House*, 2834 Hikes Lane (10-10-75).

Leslie County

Hyden vicinity, *Wendover (Frontier Nursing Service)*, S of Hyden off KY 80 on Middle Fork of the Kentucky River (10-21-75).

Mason County

Maysville vicinity, *Newdigate-Reed House*, W of Maysville at jct. of old KY 68 and U.S. 62/68 (10-10-75).

Mercer County

Salvisa vicinity, *New Providence Presbyterian Church*, about 3 mi. S of Salvisa on U.S. 127 (10-10-75).

Montgomery County

Mt. Sterling vicinity, *Gaitskill Mound Archeological Site*, N of Mt. Sterling (10-21-75).

Taylor County

Campbellsville vicinity, *Clay Hill*, about 5 mi. N of Campbellsville on KY 55 (10-10-75).

Woodford County

Versailles vicinity, *Welcome Hall (Long-Graddy House)*, 4 mi. W of Versailles off Clifton Rd. (10-10-75).

MAINE

Penobscot County

Dexter, *Dexter Grist Mill*, ME 7 (10-10-75).

York County

South Berwick, *Portsmouth Company Cotton Mills: Counting House*, ME 4 at Salmon Falls River (10-10-75).

York, *Rose, Robert, Tavern*, off Long Sands Rd. (10-10-75).

MARYLAND

Anne Arundel County

Pasadena vicinity, *Hancock's Resolution*, E of Pasadena on Bayside Beach Rd. (10-10-75) HABS.

Caroline County

Hillsboro vicinity, *Daffn House*, 3 mi. S of Hillsboro on Deep Branch Rd. (10-21-75).

Carroll County

Westminster vicinity, *Avondale*, 2.5 mi. SW of Westminster on MD 31 (10-10-75).

Cecil County

Warwick vicinity, *St. Francis Xavier Church (Old Bohemia)*, 2 mi. NW of Warwick off MD 299 (10-10-75) HABS.

Dorchester County

East New Market, *East New Market Historic District*, jct. of MD 14 and MD 16 (10-1-75).

Frederick County

Frederick vicinity, *Guilford*, 1 mi. S of Frederick on MD 85 (10-14-75).

MASSACHUSETTS

Middlesex County

Waltham, *Paine, Robert Treat Jr., House*, 577 Beaver St. (10-7-75).

MICHIGAN

Ontonagon County

Ontonagon, *Ontonagon Lighthouse*, off MI 64 (10-7-75).

MISSISSIPPI

Monroe County

Amory vicinity, *Mound Cemetery Site*, W of Amory (10-14-75).

MISSOURI

Ripley County

Grandin vicinity, *B-9 Structure Archeological Site*, 9 mi. SE of Grandin (10-7-75).

MONTANA

Big Horn County

Fort Smith vicinity, *Fort C. F. Smith Historical District*, 1 mi. E of Fort Smith in Bighorn Canyon National Recreation Area (10-10-75).

NEBRASKA

Douglas County

Omaha vicinity, *Campe-Fremont 1 Archeological Site*, W of Omaha (also in Sarpy Co.) (10-21-75).

Sarpy County

Campe-Fremont 1 Archeological Site. Reference—see Douglas County.

NEVADA

Clark County

North Las Vegas, *Kyle Ranch*, Losee St. and Carey Ave. (10-6-75).

NEW JERSEY

Bergen County

Midland Park, *Lozier House and Van Riper Mill*, 34 Goffe Rd. and 11 Paterson Ave. (10-10-75) HABS.

NEW YORK

Saratoga County

Clifton Park vicinity, *Vischer Ferry Historic District*, SW of Clifton Park at jct. of River View, Vischer Ferry and Crescent Rds. (10-15-75).

NORTH CAROLINA

Franklin County

Louisburg vicinity, *Cooke House*, SW of Louisburg near jct. of SR 1114 and SR 1109 (10-14-75).

Mecklenburg County

Charlotte, *Biddle Memorial Hall*, Johnson C. Smith University, Beatties Ford Rd. and W. Trade St. (10-14-75).

Rockingham County

Eden vicinity, *Cascade Plantation*, NE of Eden off NC 770 (10-14-75).

Stokes County

King vicinity, *Rock House*, N of King on SR 1186 (10-1-75).

OHIO

Ashtabula County

Windsor vicinity, *Windsor Mills Fort and Village Site*, W of Windsor (10-21-75).

Brown County

Mount Orab, *Mount Orab Station*, N. High and Front Sts. (10-14-75).

Ripley vicinity, *Stonehurst*, 2 mi. N of Ripley off U.S. 68 (10-10-75).

Butler County

Ross vicinity, *Demoret Mound, W of Ross* (10-21-75).
 Ross vicinity, *Hogan-Borger Mound Archeological District, N of Ross* (10-21-75).
 Ross vicinity, *Ross Trails Adena Circle, NW of Ross* (10-10-75).

Clark County

Springfield vicinity, *Crabill, David, House, 5 mi. E of Springfield off OH 4* (10-10-75).

Clinton County

Wilmington vicinity, *Keiter Mound, N of Wilmington* (10-21-75).

Cuyahoga County

Olmsted Falls, *Adams, John and Maria, House, 7315 Columbia Rd.* (10-10-75).
 Olmsted Falls, *Grand Pacific Hotel, 8112 Columbia Rd.* (10-10-75).
 Olmsted Falls, *Northrop, Julia Carter, House, 7872 Columbia Rd.* (10-14-75).

Darke County

Greenville, *Leftwich House, 203 S. Washington St.* (10-21-75).

Erie County

Sandusky, *Adams Street Double House, 106-108 E. Adams St.* (10-10-75).
 Sandusky, *St. Mary's Catholic Church, 429 Central Ave.* (10-10-75).

Fayette County

Pancoatburg vicinity, *Jackson Mound, N of Pancoatburg* (10-21-75).

Hamilton County

Dunlap vicinity, *Dunlap Archeological District, W of Dunlap* (10-21-75).
 Harrison vicinity, *Eighteen Mile House, about 2 mi. SE of Harrison at Harrison Pike and Patriot Dr.* (10-10-75) HABS.

Jackson County

Byer, *Byer Covered Bridge, SR 31* (10-21-75).

Knox County

Fredericktown vicinity, *Raleigh Mound, S of Fredericktown* (10-14-75).
 Mount Vernon, *Woodward Opera House, SW corner of Main and Vine Sts* (10-10-75).

Lorain County

Elyria, *Laundon, Thomas W., House, 307 West Ave.* (10-21-75).

Miami County

Troy, *Culbertson, Robert, House, 304 E. Franklin St.* (10-10-75).

Montgomery County

Dayton, *Conover Building, 4 S. Main St.* (10-14-75).

Portage County

Kent, *Franklin Township Hall, 218 Gougler Ave.* (10-10-75) HABS.

Scioto County

West Portsmouth vicinity, *Moore, Philip, Stone House, S of West Portsmouth on OH 239* (10-21-75).

OKLAHOMA**Pawnee County**

Pawnee vicinity, *Blue Hawk Peak Ranch, SW of Pawnee on U.S. 64* (10-10-75).

PENNSYLVANIA**Warren County**

Warren, *Struthers Library Building, 3rd Ave. and Liberty St.* (10-10-75).

Westmoreland County

Irwin, *Brush Hill, 651 Brush Hill Rd.* (10-14-75).

RHODE ISLAND**Providence County**

Greenville vicinity, *Winsor, Stephen, House, 93 Austin Ave.* (10-6-75).

Washington County

Allenton vicinity, *Douglas, George, House, S of Allenton at Tower Hill and Gilbert Stuart Rds.* (10-10-75).

TENNESSEE**Robertson County**

Springfield vicinity, *Woodard Hall, NE of Springfield on Owens Chapel Rd.* (10-10-75).

Sevier County

Sevierville vicinity, *Trotter-McMahan House, S of Sevierville on Middle Creek Rd.* (10-10-75).

Stewart County

Dover vicinity, *Fort Henry Site, NW of Dover off U.S. 79 on Fort Henry Rd.* (10-10-75).
 Dover vicinity, *Great Western Furnace, NW of Dover on TN 49* (10-6-75).

TEXAS**Cameron County**

Brownsville vicinity, *Old Brulay Plantation, E of Brownsville off TX 4* (10-10-75).

UTAH**Cache County**

Logan, *Logan Tabernacle, bounded by Center, 1st North, Main, and 1st East Sts.* (10-10-75).

Daggett County

Manila vicinity, *Manila Petroglyphs, S of Manila* (10-6-75).

Iron County

Parowan vicinity, *Parowan Gap Petroglyphs, about 10 mi. NW of Parowan off UT 130* (10-10-75).

Millard County

Scipio vicinity, *Pharo Village, S of Scipio* (10-10-75).

San Juan County

Mexican Hat vicinity, *Poncho House, SE of Mexican Hat near Monument Valley* (10-10-75).

Utah County

Provo, *Clark-Taylor House, 306 N. 500 W.* (10-6-75).

Provo, *Smoot, Reed, House, 183 E. 100 South* (10-14-75).

Wasatch County

Heber City, *Hatch, Abram, House, 81 E. Center St.* (10-10-75) HABS.

VIRGINIA**Norfolk (independent city)**

Jamestown Exposition Site Buildings, bounded by Bacon, Powhatan, Farragut, Gilbert, Bainbridge, and the harbor (10-20-75).

The following are corrections for properties previously listed in the FEDERAL REGISTER:

NORTH CAROLINA**Halifax County**

Halifax, *Sally-Billy House, St. Andrews St. extension* (10-3-75) HABS (address change).

PENNSYLVANIA**Philadelphia County**

Philadelphia, *Moore, Capt. Thomas, House, 702 S. Front St.* (3-16-72) HABS (formerly listed as House at 702 S. Front St.).

RHODE ISLAND**Providence County**

Providence, *North Freight Station, Canal St.* (5-7-73) HABS (formerly listed as Railroad Freight Stations).

The following property has been demolished and therefore removed from the National Register of Historic Places:

MICHIGAN**Genesee County**

Fenton, *Fenton Downtown Historic District.*

The following property has been removed from the National Register of Historic Places:

WYOMING**Laramie County**

Cheyenne, *Baker, Jim, Cabin, Frontier Park.*

The following properties have been determined to be eligible for inclusion in the National Register. All determinations of eligibility are made at the request of the concerned Federal Agency under the authorities in section 2(b) and 1(3) of Executive Order 11593 as implemented by the Advisory Council on Historic Preservation, 36 CFR Part 800. This listing is not complete. Pursuant to the authorities discussed herein, an Agency Official shall refer any questionable actions to the Director, Office of Archeology and Historic Preservation, National Park Service, Department of the Interior, for an opinion respecting a property's eligibility for inclusion in the National Register.

Historical properties which are determined to be eligible for inclusion in the National Register of Historic Places are entitled to protection pursuant to the procedures of the Advisory Council on Historic Preservation, 36 CFR Part 800. Agencies are advised that in accord with the procedures of the Advisory Council on Historic Preservation, before an agency of the Federal Government may undertake any project which may have an effect on such a property, the Advisory Council on Historic Preservation shall be given an opportunity to comment on the proposal.

ALABAMA**Madison County**

Huntsville, *Lee House, Red Stone Arsenal.*

Green County

Gainesville vicinity, *Archeological Sites in Gainesville Project, Tombigbee Waterway* (also in Pickens and Sumter counties).

ALASKA**Northwestern District**

Little Diomed Island, *Iyapana, John, House.*

ARIZONA

Apache County

Flattop Site, Petrified Forest National Park.
Newspaper Rock Petroglyphs Archeological District, Petrified Forest National Park.
Puerco Ruin and Petroglyph, Petrified Forest National Park.
Twin Buttes Archeological District, Petrified Forest National Park.

Cochise County

Garden Canyon Archeological Site, Sierra Vista.

Coconino County

Grand Canyon National Park, Old Post Office, Grand Canyon National Park, O'Neill, Buckley, Cabin.

Graham County

Foot Wash—No Name Wash Archeological District.

Mohave County

Colorado City vicinity, Short Creek Reservoir No. 1, Site NA 13,257.
Colorado City vicinity, Short Creek Reservoir No. 1, Site 13,258.

Maricopa County

Cave Creek Archeological District.
New River Dams Archeological District, Site T:4-6.
Skunk Creek Archeological District.

Navajo County

Painted Desert Petroglyphs and Ruins Archeological District, Petrified Forest National Park.
Polacca vicinity, Walpi Hopi Village, adjacent to Polacca.

Pima County

Tucson, Armory Park Historic District.
Tucson, Convento Site.
Tucson vicinity, Old San Juan, NW of Tucson.

Yuma County

Eagle Tail Mountains Archeological Site.
Yuma, Southern Pacific Depot.

ARKANSAS

Faulkner County

Site 3WH145, E fork of Cadron Creek Watershed (also in White county).
Sites 3VB49—3VB51, N fork of Cadron Creek Watershed.

Ouchita County

Camden, Old Post Office, Washington St.

CALIFORNIA

Calaveras County

New Melones Historical District, New Melones Lake Project area, Stanislaus River (also in Tuolumne County).

Colusa County

Stoneyford vicinity, Upper and Lower Letts Valley Historical District, 12 mi. SW of Stoneyford.

Del Norte County

Chimney Rock, Six Rivers National Forest.
Doctor Rock, Six Rivers National Forest.
Peak No. 8, Six Rivers National Forest.

Imperial County

Giamis vicinity, Chocolate Mountain Archeological District.

Inyo County

Scotty's Castle, Death Valley National Monument.
Scotty's Ranch, Death Valley National Monument.

Lassen County

Archeological Site HJ-1.

Los Angeles County

Big Tujunga Prehistoric Archeological Site, I 210 Project.
Van Norman Reservoir, Site CA-LAN 646, CA-LAN 643, Site CA-LAN 490, and a cluster made up of Sites CA-LAN 475, 491, 492, and 493.

Madera County

CA-MAD 176-185, Lower China Crossing, and New Site, in Hidden Dam-Hensley Lake Project Area, Fresno River.

Marin County

Point Reyes, Point Reyes Light Station.

Modoc County

Alturas vicinity, Rail Spring, about 30 mi. N of Alturas in Modoc National Forest.

Monterey County

Big Sur, Point Sur Light Station.
Pacific Grove, Point Pinos Light Station.

Riverside County

Twentynine Palms, Barker Dam, Joshua Tree National Monument.
Twentynine Palms, Cottonwood Oasis (Cottonwood Springs), Joshua Tree National Monument.
Twentynine Palms, Desert Queen Mine, Joshua Tree National Monument.
Twentynine Palms, Lost Horse Mine, Joshua Tree National Monument.

Sacramento County

Sacramento River Bank Protection Project, Site 1, Sacramento River.

San Bernardino County

Twentynine Palms, Keys, Bill, Ranch, Joshua Tree National Monument.
Twentynine Palms, Cow Camp, Joshua Tree National Monument.
Twentynine Palms, Twentynine Palms Oasis, Joshua Tree National Monument.
Twentynine Palms, Wallstreet Mill, Joshua Tree National Monument.

San Diego County

North Island, Camp Howard, U.S. Marine Corps, Naval Air Station.
North Island, Rockwell Field, Naval Air Station.
San Diego, Marine Corps Recruit Depot, Barnett Ave.

San Luis Obispo County

San Luis Obispo, San Luis Obispo Light Station.

San Mateo County

Ano Nuevo vicinity, Pigeon Point Light Station.
Hillsborough, Point Montara Light Station.

Santa Barbara County

Santa Barbara, Site SBA-1330, Santa Monica Creek.

Shasta County

Redding vicinity, Squaw Creek Archeological Site, NE of Redding.
Whiskeytown, Irrigation System (165 and 166), Whiskeytown National Recreation Area.

Sierra County

Archeological Site IJ-5 (Border Site 26WA-1676)

Siskiyou County

Thomas-Wright Battle Site, Lava Beds National Monument.

Sonoma County

Dry Creek-Warm Springs Valley Archeological District.
Santa Rosa, Santa Rosa Post Office.

Tehama County

Los Molinos vicinity, Ishi Site (Yahi Camp), E of Los Molinos in Deer Creek Canyon.

COLORADO

Denver County

Denver, Eisenhower Memorial Chapel, Building No. 27, Reeves St., on Lowry AFB.

Douglas County

Keystone Railroad Bridge, Pike National Forest.

El Paso County

Colorado Springs, Alamo Hotel, corner of Tejon and Oucharras Sts.
Colorado Springs, Old El Paso County Jail, corner of Vermijo and Cascade Ave.

Larimer County

Site 5-LR-257, Boxelder Watershed Project.

CONNECTICUT

Fairfield County

Norwalk, Washington Street—S. Main Street Area.

Hartford County

Hartford, Church of the Good Shepherd and Parish House, Wyllys St. and Van Block Ave.
Hartford, Colt Factory Housing, Huyshope Ave., between Sequassen and Weehasset Sts.
Hartford, Colt Factory Housing (Potsdam Village), Curcombe St. between Hendriksen Ave. and Locust St.
Hartford, Colt Park, bounded by Wethersfield Ave., Stonington, Wawarrie, Curcombe, and Marseek Sts., and by Huyshope and Van Block Aves.
Hartford, Colt, Col. Samuel, Armory, and related factory buildings, Van Dyke Ave.
Hartford, Flat-Iron Building (Motto Building), Congress St. and Maple Ave.
Hartford, Houses on Charter Oak Place.
Hartford, Houses on Wethersfield Avenue, between Morris and Wyllys Sts., particularly Nos. 97-81, 65.

Middlesex County

Middletown, Mather - Douglas - Santangelo House, 11 S. Main St.

New Haven County

New Haven, Post Office-Courthouse, Church and Court Sts.

New London County

New London, Williams Memorial Institute Building, 110 Broad St.

DELAWARE

Sussex County

Lewes, Delaware Breakwater.
Lewes, Harbor of Refuge Breakwater.

DISTRICT OF COLUMBIA

Auditors' Building, 201 14th St. SW.
Brick Sentry Tower and Wall, along M St., SW, between 4th and 6th Sts., SW.
Central Heating Plant, 13th and C Sts. SW.
1700 Block Q Street NW, 1700-1744, 1746, 1748 Que St. NW.; 1536, 1538, 1540, 1602, 1604, 1606, 1608, 17th St. NW.

FLORIDA

Broward County

Hillsboro Inlet, Coast Guard Light Station.

Collier County

Marco Island, Archeological Sites on Marco Island.

Hillsborough County

Tampa, Firehouse No. 10, Ybor City.

Monroe County

Knights Key Moser Channel—Packet Channel Bridge (Seven Mile Bridge)
Long Key Bridge
Old Bahia Honda Bridge

Pinellas County

Bay Pines, VA Center, Sections 2, 3, and 11
TWP 31-S, R-15E.

GEORGIA**Bibb County**

Macon, Vineville Avenue Area, both sides of Vineville Ave. from Forsyth and Hardman Sts. to Pio Nono Ave.

Chatham County

Archeological Site, N end of Skidway Island.

Chattooga County

Archeological Sites in area of Structure 1-M, and Trion Dikes 1 and 2, headwaters of Chattooga Watershed (also in Walker County).

Clarke County

Athens, Carnegie Library Building, 1401 Prince Ave.

Glenn County

Archeological Site WGC-73, downstream from Walter F. George Dam.

De Kalb County

Decatur, Sycamore Street Area.

Gordon County

Moss—Kelly House, Sallacoa Creek area.

Heard County

Philpott Homesite and Cemetery, on bluff above Chattahoochee River where Grayson Trail leads into river.

Stewart County

Rood Mounds.

Sumter County

Americus, Aboriginal Chert Quarry, Souther Field.

HAWAII**Hawaii County**

Hawaii Volcanoes National Park, Mauna Loa Trail.

Maui County

Hana vicinity, Kipahulu Historic District, SW of Hana on Rts. 31.

Oahu County

Moanalua Valley.

IDAHO**Ada County**

Boise, Alexanders, 826 Main St.
Boise, Fells Department Store, 100 N. 8th St.
Boise, Idaho Building, 216 N. 8th St.
Boise, Stimplot Building (Boise City National Bank), 805 Idaho St.
Boise, Union Building, 712½ Idaho St.

Clearwater County

Orofino vicinity, Canoe Camp—Suite 18, W. of Orofino on U.S. 12 in Nez Perce National Historical Park.

Idaho County

Kamiah vicinity, East Kamiah—Suite 15, SE of Kamiah on U.S. 12 in Nez Perce National Historical Park.

Lemhi County

Tendoy, Lewis and Clark Trail, Pattee Creek Camp.

Lewis County

Jacques Spur vicinity, St. Joseph's Mission (Stickpo), S of Jacques Spur on Mission Creek off U.S. 95.

Nez Perce County

Lapwai, Fort Lapwai Officer's Quarters, Phinney Dr. and O St. in Nez Perce National Park.

Lapwai, Spalding.

ILLINOIS**Carroll County**

Savanna vicinity, Spring Lake Cross Dike Island Archeological Site, 2 mi. SE of Savanna.

Cook County

Chicago, McCarthy Building (Landfield Building), NE corner of Dearborn and Washington Sts.

Chicago, Ogden Building, 180 W. Lake St.

Chicago, Oliver Building, 159 N. Dearborn St.

Chicago, Springer Block (Bay, State, and Kranz Buildings), 126-146 N. State St.

Chicago, Unity Building, 127 N. Dearborn St.

De Kalb County

De Kalb, Haish Barbed Wire Factory, corner of 6th and Lincoln Sts.

Lake County

Fort Sheridan, Museum, Bldg. 33, Lyster Rd.
Fort Sheridan, Water Tower, Bldg. 49, Leonard Wood Ave.

Williamson County

Wolf Creek Aboriginal Mound, Crab Orchard National Wildlife Refuge.

INDIANA**Monroe County**

Bloomington, Carnegie Library.

Orange County

Cox Site, Lost River Watershed.
Half Moon Spring, Lost River Watershed.

St. Joseph County

Mishawaka, 130 NW Block, properties fronting N. Main St. and W. Lincoln Way.

Vermillion County

Houses in SR 63/32 Project, Jct. of SR 32 and SR 63 and 1st rd. S. of Jct.

IOWA**Boone County**

Saylorville Archeological District (also in Polk and Dallas counties).

Muscatine County

Muscatine, Clark, Alexander, Property, 125-123 W. 3rd and 307, 309 Chestnut.

KANSAS**Douglas County**

Lawrence, Curtis Hall (Kiva Hall), Haskell Institute.

Pottawatomie County

Coffey Archeological Site, 14 PO 1.

KENTUCKY**Trigg County**

Golden Pond, Center Furnace, N of Golden Pond on Bugg Spring Rd.

MAINE**Washington County**

Machiasport, Libby Island Light Station.

MARYLAND**Allegany County**

Flintstone vicinity, Martin-Gordon Farm, Breakneck Rd. (Rte. 1).
Flintstone vicinity, Martins Mountain Farm, Breakneck Rd. (Rte. 1).

Anne Arundel County

Claiborne, Bloody Point Bar Light, on Chesapeake Bay.
Skidmore, Sandy Point Shoal Light, on Chesapeake Bay.

Baltimore County

Fort Howard, Craghill Channel Upper Range Front Light, on Chesapeake Bay.
Sparrows Point, Craghill Channel Range Front Light, on Chesapeake Bay.

Cecil County

Sassafras Elk Neck, Turkey Point Light, at Elk River and Chesapeake Bay.

Dorchester County

Hoppersville, Hooper Island Light, Chesapeake Bay—Middle Hooper Island.

Harford County

Havre De Grace, Havre De Grace Light.

St. Marys County

Piney Point, Piney Point Light Station.
St. Inigoes, St. Inigoes Manor House, Naval Electronic System Test and Evaluation Detachment.

St. Marys City, Point No Point Light, on Chesapeake Bay.

Talbot County

Tilghman Island, Sharps Island Light, on Chesapeake Bay.

MASSACHUSETTS**Barnstable County**

North Eastham, French Cable Hut, Jct. of Cable Rd. and Ocean View Dr.

Rider, Samuel, House, Gull Pond Rd. off Mid-Cape Hwy. 6.

Truro, Highland House, Cape Cod Light (Highland Light) area.

Wellfleet vicinity, Atwood—Higgins House, Boundbrook Island.

Bristol County

New Bedford, Fire Station No. 4, 79 S. 6th St.

Middlesex County

Watertown, Commanding Officer's Quarters Bldg. 111, Watertown Arsenal, 443 Arsenal St.

Wayland, Old Town Bridge (Four Arch Bridge), Rte. 27, 1.5 mi. NW of Rte. 126 Jct.

Worcester County

North Brookfield, Meadow Site No. 11, Upper Quabog River Watershed.

Worcester, Oxford-Crown Streets District, Chatham, Congress, Crown, Pleasant, Oxford Sts., and Oxford Pl.

MICHIGAN

Little Forks Archeological District.

MINNESOTA**Beltrami County**

Blackduct, Rabideau CCC Camp Site, S. of Blackduct in Chippewa National Forest.

Winona County

Winona, Second Street Commercial Block.

NOTICES

MISSOURI

Buchanan County

St. Joseph, Hall Street Historic District, bounded by 4th St. on W. Robidoux on S. 10th on E. and Michel, Corby, and Ridenbaugh on N.

Lake Spring, Hyer, John, House.

Dent County

Franklin County

Leslie, Noser's Mill and adjacent Miller's House, Rural Rte. 1.

Henry County

La Due, Batschelett House, near Harry S. Truman Dam and Reservoir.

MONTANA

Carbon County

Barry's Landing, Bad Pass Trail (Sioux Trail), Big Horn Canyon National Recreation Area.

Hardin, Pretty Creek Site (Hough Creek Site), Big Horn Canyon National Recreation Area.

Fergus County

Leeds & Clark Campsite, May 23, 1805.
Leeds & Clark, Campsite, May 24, 1805.

Leeds and Clark County

Marysville, Marysville Historic District.

Ravalli County

Conner vicinity, Alta Ranger Station, S. of Conner in Bitterroot National Forest.

NEVADA

Clark County

Indian Springs vicinity, Tim Springs Petroglyphs, N of Indian Springs.
Las Vegas vicinity, Blacksmith Shop, Desert National Wildlife Range.
Las Vegas vicinity, Mesquite House, Desert National Wildlife Range.
Las Vegas vicinity, Mormon Well Corral, NE of Las Vegas.

Elko County

Carlin vicinity, Archeological Sites 26EK1669—26EK1672.

Nye County

Las Vegas vicinity, Emigrant's Trail, about 75 mi. NW of Las Vegas on U.S. 95.

Storey County

Sparks vicinity, Derby Diversion Dam, on the Truckee River 19 mi. E of Sparks, along I 80 (also in Washoe County).

NEW HAMPSHIRE

Rockingham County

Portsmouth, Pulpit Rock Observation Station, Portsmouth Harbor.

NEW JERSEY

Mercer County

Hamilton and West Windsor Townships, Assunpink Historic District.

Middlesex County

New Brunswick, Delaware and Raritan Canal, between Albany St. Bridge and Landing Lane Bridge.

Monmouth County

Long Branch, The Reservation, 1-9 New Ocean Ave.

Sussex County

Old Mine Road Historic District (also in Warren County).

NEW MEXICO

Chaves County

Sites LA11809—LA11822, Cottonwood-Walnut Creek Watershed (also in Eddy County).

Dona Ana County

Placitas Arroyo, Sites SCSA 1—8.

Lea County

Laguna Plata Archeological District.

McKinley County

Zuni Pueblo Watershed, Oak Wash Sites N.M.G.13:19—N.M.G.13:37.

Otero County

Three Rivers Petroglyphs.

NEW YORK

Albany County

Guilderland, Nott Prehistoric Site.

Bronx County

New York, North Brothers Island Light Station, in center of East River.

Greene County

New York, Hudson City Light Station, in center of Hudson River.

New York County

New York, Harlem Courthouse, 170 E. 121st St.

Orange County

Port Jarvis, Church Street School, 55 Church St.

Port Jarvis, Farnum, Samuel, House, 21 Ulster Pl.

Richmond County

New York, Romer Shoal Light Station, located in lower bay area of New York Harbor.

Schoharie County

Breakabeen, Breakabeen Historic District, between village of North Blenheim and Breakabeen.

Suffolk County

Janesport vicinity, East End Site.
Janesport vicinity, Hallock's Pond Site.
New York, Fire Island Light Station, U.S. Coast Guard Station.

New York, Little Gull Island Light Station, off North Point of Orient Point, Long Island.

New York, Plum Island Light Station, off Orient Point, Long Island.

New York, Race Rock Light Station, S. of Fishers Island, 10 mi. N. of Orient Point.
Northville Historic District, houses along Sound Ave.

Ulster County

Kingston vicinity, Esopus Meadows Light Station, middle of Hudson River.

New York, Rondout North Dike Light, center of Hudson River at Jct. at Rondout Creek and Hudson River.

New York, Saugerties Light Station, Hudson River.

Westchester County

Port Washington vicinity, Execution Rocks Light Station, lower SW portion of Long Island Sound.

NORTH CAROLINA

Alamance County

Burlington, Southern Railway Passenger Depot, NE corner Main and Webb Sts.

Brunswick County

Southport, Fort Johnston, Moore St.

Caswell County

Archeological Sites CS-12, County Lane Creek Watershed Project (also in Rockingham County).

Womack's Mill, in County Creek Watershed Project (also in Rockingham County).

Cleveland County

Archeological Resources in Second Broad River Watershed Project (also in Rutherford County).

Cumberland County

Fayetteville, Veterans Administration Hospital Confederate Breastworks, 23 Ramsey St.

Dare County

Buxton, Cape Hatteras Light, Cape Hatteras National Seashore.

Durham County

Durham, St. Joseph's A.M.F. Church, Fayetteville St. at the Durham Expwy.

Hyde County

Ocracoke, Ocracoke Lighthouse.

New Hanover County

Wilmington, Market Street Mansions District, both sides of Market St. between 17th and 18th Sts.

OHIO

Clermont County

Neville vicinity, Maynard House, 2 mi. E of Neville off U.S. 52.

Pickaway County

Williamsport vicinity, The Shack (Daugherty, Harry, House), 5.5 mi. NW of Williamsport.

Seneca County

Tiffin, Old U.S. Post Office, 215 S. Washington St.

OKLAHOMA

Comanche County

Fort Sill, Blockhouse on Signal Mountain off Mackenzie Hill Rd.

Fort Sill, Camp Comanche Site, E range on Cache Creek.

Fort Sill, Chiefs Knoll, Post Cemetery, N of Macomb Rd.

Fort Sill, Geronimo's Grave, N of Jct. of Dodge Hill and Elgin Rds.

Fort Sill, Henry Post Air Field, Post Rd.

Fort Sill vicinity, Medicine Bluffs, NW of Fort Sill.

Haskell County

Keota vicinity, Otter Creek Archeological Site, SW of Keota.

Kay County

Newkirk vicinity, Bryson Archeological Site, NE of Newkirk.

OREGON

Baker County

Baker vicinity, Virtue Flat Mining District, 10 mi. E of Baker off Hwy. 86.

Coos County

Charleston, Cape Arago Light Station.

Curry County

Port Orford, Cape Blanco Light Station.
Wolf Creek, Rogue River Ranch, Star Rte. Box 78.

Douglas County

Winchester Bay, Umpqua River Lighthouse.

Gilliam County

Crum Gristmill, Ghost Camp Reservoir area.
Old Wagon Road, Ghost Camp Reservoir area.
Steel Truss Bridge, Ghost Camp Reservoir area.

Klamath County

Crater Lake National Park, Crater Lake Lodge.

Lane County

Roosevelt Beach, Heceta Head Lighthouse.
Roosevelt Beach, Heceta Head Light Station.

Lincoln County

Agate Beach, Yakima Head Lighthouse.

Tillamook County

Tillamook, Cape Meares Lighthouse.

Wasco County

Memaloose Island, River Mile 177.5 in Columbia River.

PENNSYLVANIA

Adams County

Gettysburg, Barlow's Knoll, adjacent to Gettysburg National Military Park.

Allegheny County

Bruceton, Experimental Mine, U.S. Bureau of Mines, off Cochran Mill Rd.

Berks County

Mt. Pleasant, Berger-Stout Log House, near jct. of Church Rd. and Tulephocken Creek.
Mt. Pleasant, Conrad's Warehouse, near jct. of Rte. 183 and Powder Mill Rd.

Mt. Pleasant, Heck-Stamm-Unger Farmstead, Gruber Rd.

Mt. Pleasant, Miller's House, jct. of Rte. 183 and Powder Mill Rd.

Mt. Pleasant, O'Bolds-Billman Hotel and Store, Gruber Rd. and Rt. 183.

Mt. Pleasant, Pleasant Valley Roller, Gruber Rd.

Mt. Pleasant, Reber's Residence and Barn, on Tulephocken Creek.

Mt. Pleasant, Union Canal, Blue Marsh Lake Project area.

Clinton County

Lockhaven, Apsley House, 302 E. Church St.

Lockhaven, Harvey, Judge, House, 29 N. Jay St.

Lockhaven, McCormick, Robert, House, 234 E. Church St.

Lockhaven, Mussina, Lyons, House, 23 N. Jay St.

Dauphin County

Middletown, Swatara Ferry House (Old Fort), 400 Swatara St.

Huntingdon County

Brumbaugh Homestead, Raystown Lake Project.

Lackawanna County

Carbondale, Miners and Mechanics Bank Bldg. 13, N. Main St.

Lehigh County

Dorneyville, King George Inn and two other stone houses, Hamilton and Cedar Crest Blvds.

Lycoming County

Williamsport, Faxon Co., Inc., Williamsport Beltway.

Northampton County

Lehigh Canal.

Philadelphia County

U.S. Naval Base, Quarters "A" Commandant's Quarters

Washington County

Charleroi, Ninth Street School.
Somerset Township, Wright No. 22 Covered Bridge

SOUTH CAROLINA

Beaufort County

Parris Island, Marine Corps Recruit Depot.

Charleston County

Charleston, 139 Ashley St.
Charleston, 69 Barre St.
Charleston, 69r Barre St.
Charleston, 316 Calhoun St.
Charleston, 316r Calhoun St.
Charleston, 268 Calhoun St.
Charleston, 274 Calhoun St.
Charleston, Old Rice Mill, off Lockwood Dr.

SOUTH DAKOTA

Pennington County

Rapid City, Rapid City Historic Commercial District, portions of 612-632 Main St.

TENNESSEE

Hamilton County

Chattanooga, Civil War Fort, N of Tyler RR. Crossing on Southern RR.

Henry County

Mt. Zion Church and Cemetery (United Baptist Church).

Troup County

Dixon Springs, McGee House.

TEXAS

Bexar County

Fort Sam Houston, Eisenhower House, Artillery Post Rd.

Concho County

Middle Colorado River Watershed, Prehistoric Archeology in the Southwest Lateral Subwatershed (also in McCulloch County)

Denton County

Hammons, George, House, between Sangers and Pilot Point.

El Paso County

Castner Range Archeological Sites.

Galveston County

Galveston, U.S. Customhouse, bounded by Avenue B, 17th, Water, and 18th Sts.

Uvalde County

Leon River Watershed Archeological Sites.

Webb County

Laredo, Bertani, Paul Prevost House, 604 Iturbide St.

Laredo, De Leal, Viscaya, House, 620 Zaragoza St.

Laredo, Garza, Zola De La, House, 500 Iturbide St.

Laredo, Leyendecker/Salinas House, 702 Iturbide St.

UTAH

Salt Lake County

Salt Lake City, Karrick Building (Leyson-Pearson Building), 236 S. Main St.

Salt Lake City, Lollin Block, 238-240 S. Main St.

VERMONT

Franklin County

Highgate Falls, Lenticular or Parabolic Truss Bridge, over Missisquoi River.

Windsor County

Windsor, Post Office Building.

WASHINGTON

Benton County

Richland vicinity, Hanford Island Archeological Site, 18 mi. N of Richland.

Richland vicinity, Hanford North Archeological District, 22 mi. N. of Richland.

Richland vicinity, Paris Archeological Site, Hanford Works Reservation.

Richland vicinity, Snively Canyon Archeological District, 25 mi. NW of Richland.

Richland vicinity, Wooded Island Archeological District, N of Richland.

Clallam County

Cape Alava vicinity, White Rock Village Archeological Site, S of Cape Alava.

Olympic National Park Archeological District, Olympic National Park (also in Jefferson County).

Seigum, New Dungeness Light Station.

Franklin County

Richland vicinity, Savage Island Archeological District, 15 mi. N of Richland.

Grays Harbor County

West port, Grays Harbor Light Station.

King County

Burton, Point Robinson Light Station.

Seattle, Alki Point Light Station.

Seattle, West Point Light Station.

Kitsap County

Hansville, Point No Point Light Station.

Pacific County

Ilwaco, North Head Light Station.

Pierce County

Fort Lewis Military Reservation, Captain Wilkes, July 4, 1841, Celebration Site.

Longmire, Longmire Cabin, Mount Rainier National Park.

San Juan County

San Juan Islands, Potosi Island Light Station.

Snohomish County

Mukilteo, Mukilteo Light Station.

WEST VIRGINIA

Cabell County

Huntington, Old Bank Building, 1208 3rd Ave.

Kanawha County

Charleston, Kanawha County Courthouse.

St. Albans, Chilton House, 439 B St.

Ohio County

Wheeling, B & O Railroad Freight Station and Train Shed.

Wood County

Parkersburg, Wood County Courthouse.

Parkersburg, Wood County Jail.

WISCONSIN

Ashland County

Ashland vicinity, Madeline Island Site 7302.

Milwaukee County

Milwaukee, Plankinton, Elisabeth, House, 1492 W. Wisconsin Ave.

WYOMING**Goshute County**

Torrington, Union Pacific Depot.

Lincoln County

Emigrant Springs, 18 mi. W of Fontenelle Dam Site

Natrona County

Casper, Cantonment Reno.

Casper, Castle Rock Archeological Site.

Casper, Dull Knife Battlefield.

Casper, Middle Fork Pictograph-Petroglyph Panels.

Casper, Portuguese Houses.

Park County

Mammoth, Chapel at Fort Yellowstone, Yellowstone National Park.

Sweetwater County

Farson vicinity, Parting-of-the-Ways Oregon Trail Site, 15 mi. NE of Farson.

PUERTO RICO

Mona Island, Sardinero Site and Ball Courts.

PERRY L. ROGERS,*Acting Director, Office of**Archeology and Historic Preservation.*

[FR Doc.75-32132 Filed 12-1-75; 8:45 am]

Bureau of Outdoor Recreation

[INT FES 75-95]

**PROPOSED MINNESOTA MEMORIAL
HARDWOOD FOREST****Availability of Final Environmental
Statement**

Pursuant to Section 102(2)(C) of the National Environmental Policy Act of 1969, the Department of the Interior has prepared a final environmental statement for the proposed Minnesota Memorial Hardwood Forest Acquisition project. Notice of Availability of the draft environmental statement inviting comments was announced in the *FEDERAL REGISTER* on October 29, 1974 (DES 74-91).

The environmental statement considers the acquisition of approximately 200,000 acres over a 30-year period to add to the Memorial Hardwood Forest located 20 miles southeast of Minneapolis-St. Paul. The first 10-year phase of acquisition includes 70,000 acres. The land would be managed to provide for multi-use purposes and serve as a model for surrounding landowners. Intensive forest management would improve forest quality and wildlife habitat and create jobs. Development would be the minimum necessary to provide forest recreational opportunities and visitor access. Adverse effects of the action would be partial loss of tax base, relocation of families, minimal short-term erosion, and an expected increase in visitors and traffic. The project will serve regional and interstate recreational needs.

Copies are available for inspection at the following locations:

Bureau of Outdoor Recreation, Lake Central Region, 3853 Research Park Drive, Ann Arbor, Michigan 48104

Bureau of Outdoor Recreation, Office of Communications, Department of the Interior, Washington, D.C. 20240

State Planning Agency, 802 Capitol Square Building 550 Cedar Street, St. Paul, Minnesota 55101

Department of Natural Resources, Bureau of Planning, 301 Centennial Building, St. Paul, Minnesota 55155

Copies may be obtained by writing the Bureau of Outdoor Recreation, Lake Central Region, 3853 Research Park Drive, Ann Arbor, Michigan 48104. Please refer to the statement number above.

Dated: November 24, 1975.

STANLEY D. DOREMUS,
*Deputy Assistant Secretary of
the Interior.*

[FR Doc.75-32374 Filed 12-1-75; 8:45 am]

Office of the Secretary

[INT FES 75-96]

**PROPOSED LAKE WOODRUFF
WILDERNESS AREA****Availability of Final Environmental
Statement**

Pursuant to Section 102(2)(C) of the National Environmental Policy Act of 1969, Public Law 91-190, the Department of the Interior has prepared a final environmental statement for the Proposed Lake Woodruff Wilderness Area, Volusia and Lake Counties in east central Florida.

The proposal recommends that 958 acres of island habitat in the Lake Woodruff National Wildlife Refuge located in Volusia and Lake Counties in east central Florida be designated as wilderness within the National Wilderness Preservation System.

Copies of the final statement are available for inspection at the following locations:

Regional Director, U.S. Fish and Wildlife Service, 17 Executive Park Drive, N.E., Atlanta, Georgia 30329

Refuge Manager, Lake Woodruff National Wildlife Refuge, Box 488, DeLeon Springs, Florida 32028

U.S. Fish and Wildlife Service, Division of Wildlife Refuges, Room 2280, 18th & C Streets, N.W., Washington, D.C. 20240

Single copies may be obtained by writing the Environmental Impact Statement Coordinator, Division of Wildlife Refuges, U.S. Fish and Wildlife Service, Department of the Interior, Washington, D.C. 20240.

NOVEMBER 24, 1975.

STANLEY D. DOREMUS,
*Deputy Assistant Secretary
of the Interior.*

[FR Doc.75-32373 Filed 12-1-75; 8:45 am]

DEPARTMENT OF AGRICULTURE**Farmers Home Administration**

[Notice of Designation Number A269]

MARYLAND**Designation of Emergency Areas**

The Secretary of Agriculture has determined that farming, ranching, or aquaculture operations have been substantially affected in St. Marys County,

Maryland, as a result of excessive rainfall, flooding, windstorm and hailstorm which occurred during the period of July 2 through July 17, 1975.

Therefore, the Secretary has designated this area as eligible for Emergency loans pursuant to the provisions of the Consolidated Farm and Rural Development Act, as amended by Pub. L. 94-68, and the provisions of 7 CFR 1832.3(b) including the recommendation of Governor Marvin Mandel that such designation be made.

Applications for Emergency loans must be received by this Department no later than January 19, 1976, for physical losses and August 18, 1976, for production losses, except that qualified borrowers who receive initial loans pursuant to this designation may be eligible for subsequent loans. The urgency of the need for loans in the designated area makes it impracticable and contrary to the public interest to give advance notice of proposed rule making and invite public participation.

Done at Washington, D.C., this 25th day of November, 1975.

FRANK W. NAYLOR, JR.,
Acting Administrator

Farmers Home Administration.

[FR Doc.75-32438 Filed 12-1-75; 8:45 am]

[Notice of Designation Number A270]

VERMONT**Designation of Emergency Areas**

The Secretary of Agriculture has determined that farming, ranching, or aquaculture operations have been substantially affected in the following Vermont Counties as a result of drought May 15 to September 2, 1975:

Addison	Franklin
Chittenden	Grand Isle

Therefore, the Secretary has designated these areas as eligible for Emergency loans, pursuant to the provisions of the Consolidated Farm and Rural Development Act, as amended by Pub. L. 94-68, and the provisions of 7 CFR 1832.3(b) including the recommendation of Governor Thomas P. Salmon that such designation be made.

Applications for Emergency loans must be received by this Department no later than January 19, 1976, for physical losses and August 18, 1976, for production losses, except that qualified borrowers who receive initial loans pursuant to this designation may be eligible for subsequent loans. The urgency of the need for loans in the designated areas makes it impracticable and contrary to the public interest to give advance notice of proposed rule making and invite public participation.

Done at Washington, D.C., this 25th day of November, 1975.

FRANK W. NAYLOR, JR.,
Acting Administrator

Farmers Home Administration.

[FR Doc.75-32439 Filed 12-1-75; 8:45 am]

Forest Service

**LYNDON B. JOHNSON NATIONAL
GRASSLAND GRAZING ADVISORY BOARD
Meeting**

The Lyndon B. Johnson National Grassland Grazing Advisory Board will meet at 7:00 p.m., January 8, 1976, at First National Bank in Decatur, 306 W. Main, Decatur, Texas. The purpose of this meeting is to discuss fees, permits and grazing systems.

The meeting will be open to the public. Persons who wish to attend should notify W. J. Gibson, P.O. Box 507, Decatur, Texas, telephone (817) 627-5475. Written statements may be filed with the committee before or after the meeting.

The committee has established the following rules for public participation—none.

Dated: November 21, 1975.

W. A. SCHLESSELMAN,
Acting Forest Supervisor.

[FR Doc.75-32371 Filed 12-1-75; 8:45 am]

**Packers and Stockyards Administration
MAYSVILLE STOCK YARDS, ET AL.**

Depositing of Facilities; Correction

On November 14, 1975, a notice was published in the *FEDERAL REGISTER* (40 FR 53050) relative to the depositing of certain stockyard facilities found no longer to come within the definition of a stockyard under the Packers and Stockyards Act, 1921, as amended (7 U.S.C. 181 et seq.). Through error the name of Maplehurst Livestock Market, Hinsdale, New York, posted on August 6, 1960, under Stockyard Facility number NY-122, was listed in this notice.

It has been ascertained that the stockyard mentioned herein is continuing its operations as a stockyard as that term is defined in the Act and that the name of this stockyard should be stricken from the Depositing of Stockyards notice as published in the *FEDERAL REGISTER* on November 14, 1975, (40 FR 53050). The Maplehurst Livestock Market, Hinsdale, New York, will continue subject to the provisions of the Act as a posted stockyard until further notice is published depositing this facility.

Done at Washington, D.C. this 25th day of November, 1975.

EDWARD L. THOMPSON,
Chief, Registrations, Bonds,
and Reports Branch, Live-
stock Marketing Division.

[FR Doc.75-32441 Filed 12-1-75; 8:45 am]

**DEPARTMENT OF HEALTH,
EDUCATION, AND WELFARE**

Center for Disease Control

**OCCUPATIONAL SAFETY AND HEALTH
Request for Information on Certain
Chemical Agents**

Section 20(a)(3) of the Occupational Safety and Health Act of 1970 (29 U.S.C. 669(a)(3)) provides that the Secretary

of Health, Education, and Welfare, on the basis of information available to him, shall develop criteria dealing with toxic materials which will describe exposure levels that are safe for various periods of employment. Section 22(c) of the Act authorizes the National Institute for Occupational Safety and Health (NIOSH) to develop recommended occupational safety and health standards and to perform all functions of the Secretary of Health, Education, and Welfare, under sections 20 and 21 of the Act. NIOSH is proposing to develop criteria documents and recommended occupational health standards on the following substances:

1. Carbon Disulfide.
2. Octanes.
3. Butanes.
4. Hexanes.
5. Pentanes.
6. Kerosene.
7. Stoddard Solvent.
8. Petroleum Naphtha.
9. Mineral Spirits.
10. Nickel and Its Inorganic Compounds, (Including Nickel Carbonyl)

Each criteria document will include among other items an evaluation of available information relative to the areas listed below.

Any person having information or data in any of the areas listed below, or in other areas considered relevant to the establishment of a safe and healthful occupational environment involving these substances is requested to submit such information, with accompanying documentation to Director, Office of Research and Standards Development, NIOSH, 5600 Fishers Lane, Park Building, Room 3-18, F ckville, MD 20852 within 90 days.

1. Establishment of safe occupational environment levels for such agents including levels for acute and chronic exposure to airborne concentrations of the chemical agents as well as safe practices concerning direct contact with such agents.

2. Establishment of biologic standards, i.e., the levels of such agents, metabolites, or other effects of exposure which may be present within man without his suffering ill effects taking into consideration (a) the correlation of airborne concentrations of, and extent of exposure to such substances with effects on specific biological systems of man such as the circulatory, respiratory, urinary, and nervous system, and (b) the analytical methods for determining the amount of the substance which may be present within man.

3. Engineering controls, including ventilation, environmental temperature, humidity, and housekeeping and sanitation procedures, with attention to the technological feasibility of such controls.

4. Specifications for the condition under which personal protective devices should be required.

5. Methodology, including instrumentation, for air sampling and sample analysis of chemical agents and methodology for measuring levels of exposure to physical agents.

6. The need for medical examinations for workers exposed to such agents, the

frequency of such examinations, and the specific diagnostic tests which should be used and the rationale of their selection.

7. Work practices or procedures which may be instituted for control of the workplace environment in normal operations and those which may be instituted when environmental levels are temporarily exceeded or where peak concentrations of chemical agents in man are reached.

8. The types of records concerning occupational exposure to such agents that employers should be required to maintain.

9. Warning devices and labels which should be required for the prevention of occupational diseases and hazards caused by such agents.

All information received concerning these substances will be available for public inspection after the development of the respective criteria document.

JOHN F. FINKLEA,
Director, National Institute for
Occupational Safety and Health.

NOVEMBER 24, 1975.

[FR Doc.75-32370 Filed 12-1-75; 8:45 am]

Office of the Secretary

**OFFICE OF FACILITIES ENGINEERING
AND PROPERTY MANAGEMENT**

**Statement of Organization, Functions, and
Delegations of Authority**

Part I of the statement of organization, functions, and delegations of authority for the Department of Health, Education, and Welfare is amended to make certain editorial changes to Chapter 1T80 "Office of Facilities Engineering and Property Management" (38 FR 16406, June 22, 1973), as amended. Sections 1T80.00, 1T80.10, 1T80.20, and 1T80.30 are revised to read as follows:

Sec. 1T80.00 Mission. The mission of the Office of Facilities Engineering and Property Management (OFPEM), to be performed for and in cooperation with the principal operating components of the Department and Office of the Secretary staff, is to provide architectural engineering policy, direction, and services for both direct Federal and federally assisted construction activity; manage an integrated facilities engineering system for all DHEW owned or operated real property; accomplish maximum utilization of all Federal surplus property in support of national priorities established by Congress through identification of available property and its utility, and provide Department-wide leadership in occupational safety and health management.

Sec. 1T80.10 Organization. OFPEM, under the supervision of the Director, who reports directly to the Assistant Secretary for Administration and Management, consists of:

Office of the Director: Policy Development Staff; Administrative Staff; Metropolitan Engineering Staff; Management Services Staff.

Office of Planning and Development: Division of Facility Planning; Division of Facility

Office of Federally Assisted Construction, Division of Construction.

Office of Architectural and Engineering Services: Division of Design Management; Division of Architecture; Division of Engineering.

Office of Real Property Management: Division of Plant Management; Division of Real Property; Division of Space Management.

Office of Federal Property Assistance: Division of Real Property; Division of Personal Property.

OFFICE OF SAFETY MANAGEMENT

"Sec. 1T80.20 Functions.—A. Office of the Director. The Office of the Director (OFPEM) shall be responsible for:

"1. Office of the Director. a. Administration and supervision of all OFPEM activities and personnel resources.

"b. Review of principal operating components and staff office architectural and engineering manpower budgetary requirements for recommendations to the Office of the Secretary in relation to the Department's manpower utilization program.

"c. In conjunction with Department principal operating components and staff offices, justifying the architectural/engineering and related technical aspects of annual budget submittals for the acquisition, construction, utilization, operation, and maintenance, repair and improvement, and disposal of Department facilities before the Office of Management and Budget and Congress.

"2. Policy Development Staff. a. Defining and implementing policies and procedures, and coordinating their development with the principal operating components and staff offices, and other Federal departments and agencies.

"b. Advising the Director on congressional inquiries and other legislative matters affecting OFPEM.

"c. Serving as the focal point with OFPEM for development of grant program policy and procedures and for direct Federal contracting matters regarding architectural/engineering and construction services.

"d. Developing policies, procedures, and regulations for the Department-wide implementation of the Uniform Relocation Act, Public Law 91-646.

"e. Serving as liaison with the Department's Office of General Counsel in the development and application of such policies and procedures.

"f. Developing and recommending policies and procedures, to the Office of Grants and Procurement Management, for DHEW-wide use in contracting for direct Federal architectural/engineering and construction services, and providing related operational and technical guidance and surveillance.

"3. Administrative Staff. Developing OFPEM administrative practices and procedures and annual operating budgets; personnel administration; control and editing of correspondence and publications; control of supply, space allocation, and travel funds; managing files and security controls; establishing and maintaining a resource materials library; and performing other administrative functions as may be necessary.

"4. Metropolitan Engineering Staff. The Metropolitan Engineering Staff is responsible for the following direct Federal activities in headquarters facilities in the Washington-Baltimore metropolitan area:

a. Maintenance and Operations Section.
i. Coordinating the delivery of architectural/engineering services in support of alteration, repair, and minor construction in DHEW-owned and occupied space.

ii. Providing technical assistance on the environmental quality matters associated with the design, construction, and operation of DHEW facilities.

iii. Performing predesign site utilization analysis and providing technical assistance for the site selection team.

iv. Reviewing and coordinating with GSA, job orders for repair, modification, and services for headquarters facilities, including the development of procedures for building equipment operation.

v. Providing liaison with GSA for maintenance and operation of building utilities and equipment, and cleaning and custodial services for headquarters facilities, including building services to concessionaires, credit unions and employee associations.

vi. Providing technical assistance in the performance of inspections of facilities to determine compliance with life/fire safety requirements.

vii. Performing facilities condition surveys to identify deficiencies and determine necessary maintenance and repair actions.

viii. Conducting maintenance surveillance of DHEW occupied space to determine adequacy and compliance with contractual requirements for heating, lighting, air conditioning, utility support, housekeeping, public use, etc.

ix. Providing, in accordance with the Office of Architectural and Engineering Services, design, construction, and consultative services in support of maintenance, repair and alteration projects; and for specific field problems as necessary.

x. Preparing space layout for new Federal facilities or rearrangement of existing space as directed. This includes determination of functions, flow, and external/internal interface requirements.

xi. Providing technical assistance for natural/civil disasters, including damage surveys and related services, in response to requests from the Federal Disaster Assistance Administration and DHEW programs.

xii. Carrying out project post construction activities.

b. Facilities Management Section.

i. Carrying out the effective and timely acquisition, utilization, and disposal of facilities in the area.

ii. Coordinating with requesting principal operating components and assuring that statement of program and employee needs is prepared, DHEW facility/site location and evaluation is accomplished, facilities/space acquisition actions are accomplished expeditiously, and site visits are scheduled during facility alterations to assure compliance and coordination of support requirements.

iii. Acquiring and assigning bulk space to the operating components.

iv. Preparing and maintaining records, reports, and utilization studies for DHEW-owned and occupied space, including: basic data on facilities occupied by DHEW, coordination with installations on annual utilization surveys, consolidation of real property inventory reports, consultative services to installations on facilities/quarters space problems with building managers.

v. Assisting installation staff on the implementation of the DHEW facilities cost accounting system.

vi. Coordinating with the Office of Real Property Management in providing technical assistance to installations on work plans and other operations and maintenance matters.

vii. Developing Washington, D.C., Southwest Area housing plan.

viii. Distributing bulk parking space within the Washington, D.C., Southwest Area complex.

5. Management Services Staff. a. Performing upon request of program and OFPEM offices, analysis of management information to measure effectiveness and efficiency of OFPEM program support activities.

b. Performing special studies and analysis for use in recommending changed methodologies or OFPEM activity priorities.

c. Accepting statements of systems requirements from user elements in OFPEM, and providing services required (if funded by the user) through most appropriate and cost-effective in-house or outside service source.

d. Providing basic data in areas for which OFPEM is responsible to elements outside OFPEM, for management purposes by those elements, and when funded by the requesting non-OPEM elements.

e. Performing the service of data collection within OFPEM from both headquarters and field locations.

"B. Office of Planning and Development. The Office of Planning and Development shall be responsible for:

"1. Division of Facility Planning. a. Developing, publishing, and managing policies and procedures for translating long-range program plans into Federal facility requirements with necessary and appropriate budgetary documentation, for DHEW involvement in facility comprehensive planning.

"b. Providing facility planning consulting services to elements of DHEW, and as appropriate, to other Federal departments, public bodies and private institutions.

"c. Acting as focal point for OFPEM interface with planning, budgetary, and management elements of OS, principal operating components, OMB, and GSA.

"d. Serving as point of OFPEM contact for participation in the DHEW Operational Planning System.

"e. Determining and documenting facility requirements for Department headquarters complex to include schedules, justifications, and budgetary implications.

"f. Developing and promulgating principles and techniques to relate urban planning to health, education, and welfare facilities.

"2. Division of Facility Development. a. Identifying the advanced state-of-the-art of building and formulating application priorities and strategies responsive to DHEW facility programs.

"b. Providing consultant services in the facility development area to principal operating components and OS elements, other Federal departments and agencies, and where appropriate, to public and private institutions.

"c. Sponsoring DHEW involvement in special demonstration projects utilizing

ing innovative techniques for facility development.

"d. Developing and promulgating principles and techniques in systems building, construction management/phased design and construction, and life cycle costing.

C. Office of Federally Assisted Construction. The Office of Federally Assisted Construction in coordination with the principal operating components shall be responsible for:

1. Resolving problems related to (a) the federally assisted project design/construction process, (b) the need for A/E manpower to support federally assisted program activities, and (c) defining budget impact on OFEPM and ROFEC operations.

2. Defining the need for new or revised field operating procedures for use by Regional A/E staffs in providing technical support for federally assisted construction activities, and developing and implementing such procedures through the ROFECs.

3. Defining needs for specific technical guides and standards and coordinating with the Office of Architectural and Engineering Services in developing and publishing such guides and standards.

4. Consulting with National Professional Societies and Office of Secretary staff offices on the development and application of innovative methods and of design and construction for federally assisted projects.

5. Evaluating management data reports and informing the Director, OFEPM, of magnitude, trends and projections of Federally assisted construction activities nationally.

6. Preparing publications of representative costs of Federally assisted health and education facilities for distribution to national organizations, universities and hospitals and other interested public and private groups and individuals.

7. Carrying out a continual program for evaluating Regional A/E staff performance in supporting the Federally assisted activity and recommending to the Director, OFEPM, Regional staff changes required to assure adequate activity support.

8. Representing the Director, OFEPM, in coordinating with the Department Office for Civil Rights on equal employment activities relating to both direct Federal and federally assisted construction.

9. Representing the Director, OFEPM, on inter- and intra-Department committees as well as at National and regional meetings relating to federally assisted construction.

10. Acting as the Department member on the Federal Procurement Task Force with the mission of fostering opportunities for minority business within the direct Federal procurement section with special emphasis on direct Federal construction efforts.

"D. Office of Architectural and engineering Services. The Office of Architectural and Engineering Services shall be responsible for:

"1. Division of Design Management. a. Selecting methods and means for providing architectural/engineering and design and related construction services in support of the Department direct Federal special-purpose construction activity.

"b. Establishing design and construction schedules and monitoring project progress to insure availability of facilities to meet user occupancy dates.

"c. Developing policies and procedures for guidance of regional office staffs and field installations.

"d. Coordinating the development of architectural/engineering and construction contract documents with the contracting officer.

"e. Providing upon request, specialized consultant services to the principal operating components, staff offices, regional offices, and field installations relative to the furnishing and equipping of projects.

"2. Division of Architecture. a. Providing upon request, specialized architectural consultant services to the principal operating components, staff offices, regions, field installations, and project applicants and their representatives with respect to both direct Federal special-purpose and federally assisted construction activities.

"b. Developing architectural design standards, criteria, and technical specifications for uniform application to the direct Federal special-purpose construction activity and guides for the federally assisted construction activity.

"c. Supervising architectural design functions for the Federal special-purpose construction activity.

"d. Technical surveillance of architectural services being rendered by the principal operating components, staff office, regional office, and field installation staffs.

"e. Promoting the utilization of the life-cycle cost concept in all architectural design.

"f. Providing drafting and visual aids services for OFEPM.

"3. Division of Engineering. a. Providing upon request, specialized engineering consultant services to the principal operating components, staff offices, regional offices, field installations, and project applicants and their representatives with respect to both direct Federal special-purpose and federally assisted construction activity.

"b. Developing engineering design standards, criteria, and technical specifications for uniform application to direct Federal special-purpose construction activity and guides for federally assisted construction activity.

"c. Supervising civil, mechanical, and electrical design functions for Federal special-purpose construction activity.

"d. Technical surveillance of engineering services being rendered by the principal operating components, staff office, regional office, and field installation staffs.

"e. Promoting the utilization of the life-style cost concept in all engineering design.

4. Division of Construction. a. Monitoring and coordinating all construction related activities utilizing DHEW funding including the provision of expert advice and assistance on construction engineering methodology and techniques, and on advanced techniques in the construction field such as phased design with construction management concepts to provide quality construction faster and at lowest practical costs.

b. Evaluating construction activities and directing preparation of reports for construction planning purposes and construction program development including recommending to the Divisions of Engineering and Architecture post evaluation surveys when deemed appropriate.

c. Analyzing construction reports from the Regional Offices to isolate problem areas, to determine the cause of the problems, and to devise solutions thereto, including periodic visits to the Regional offices to analyze problems of construction and contract management techniques.

d. Providing assistance, guidance, consultation and coordination between GSA and HEW agencies in the construction of field facilities. Also provides appropriate services on special projects of high priority as identified by the Director, OFEPM.

c. Relating to direct Federal construction in the Washington/Baltimore Metropolitan area: conducts preconstruction conferences; evaluates monthly payment requests from contractors; investigates proposed changes and approves or disapproves such changes; evaluates periodic status reports; and makes final inspection.

Revise 1T80.20A.4.a to read as follows: Performing architectural/engineering and construction related technical services as pertinent and as listed in sections 1T02a2, 1T02a4 excluding 1T02a4(2), and 1T02a5 for direct Federal construction activities in the Washington/Baltimore Metropolitan area.

"E. Office of Real Property Management.—The Office of Real Property Management shall be responsible for:

"1. Division of Plant Management.—a. Developing and implementing an integrated facilities engineering management system for the planning identification, management, operation and maintenance, and analysis of Department-owned and utilized facilities in support of annual and long-range and budgetary requirements.

"b. Developing and publishing policies and procedures for all areas of DHEW interest and involvement in operation and maintenance of DHEW real property in support of Department agency requirements.

"c. Acting as the focal point for OFEPM interface with all government and non-government elements concerned with socio-economics compliance in Department-owned and utilized facilities.

"d. Administering and supervising a continual program for:

"(1) Evaluation of Departmental real property condition and operations for

compliance with applicable safety, health, fire protection, environmental, and energy conservation standards.

"(2) Technical surveillance and performance evaluation of DHEW facility operation and maintenance activities relating to energy conservation, fire safety, occupational safety, environmental standards, and other actions required to provide adequate, safe, and properly maintained facilities.

"(3) Evaluation of maintenance and custodial services operations furnished by other Federal departments, facility support agencies and private lessors on real property owned by the Department or occupied under lease, assignment, license or use permit.

"(4) Development of technical material and standards for guidance of regional office staffs and field installation personnel for the operation, maintenance, repair, and improvement of Department real property.

"(5) Application of adequate and acceptable entomological control, grounds maintenance, snow removal, and other facility related services.

"(6) Furnishing upon request, specialized plant maintenance and operation consultant services to headquarters, agencies, regional offices, and field installations.

"2. Division of Real Property.—a. Providing operational and planning guidance and where necessary, performance, to assist the regional offices of Facilities Engineering and Construction (ROFC's) and the principal operating components in DHEW real property activities.

"b. Maintaining a real property inventory, cost and facility management system for DHEW-owned and utilized Federal facilities, and facility engineering activities related thereto.

"c. Performing analysis of real property and facility data to provide management data to the OS and principal operating components.

"d. Acting as the focal point for OFEPM interface with all Government elements concerning DHEW real property activities.

"e. Acting as principal point of contact with GSA-PBS headquarters elements for Department-wide involvement in real property acquisition, management and disposal actions.

f. Providing real property consulting services to elements of DHEW.

g. Developing and publishing policies and procedures for all areas of DHEW interest in real property.

h. Interpreting statutory requirements and pertinent Federal directives on Department real property acquisition, utilization, and disposal.

3. Division of Space Management.—a. Coordinating, with General Services Administration, the planning, acquisition, utilization, and disposal of GSA assigned space for DHEW.

b. Providing operational guidance and technical assistance to regional office staff and the principal operating components relating to GSA-assigned space.

c. Operating the Space Management Center, providing briefings, graphic dis-

plays, and information to the OS and the principal operating components, on Federal facilities, planning, acquisition, and inventory.

d. Collecting and analyzing data concerning all activities related to GSA-assigned space as well as the identification and resolution of specific problem areas with GSA, principal operating components, and OS as appropriate.

e. Coordinating the development of standards and guides on the procurement and utilization of GSA-assigned space.

f. Providing consulting service to elements of DHEW in matters related to GSA-assigned space.

g. Developing and publishing policies and procedures for all areas of DHEW interest in planning, acquisition, management, and disposal of GSA-assigned space.

F. Office of Federal Property Assistance through the Division of Real Property Assistance and Division of Personal Property Assistance shall be responsible for:

1. Developing regulations, policies, procedures, standards, guidelines, and training materials in coordination with other Agencies of the Federal and State Governments for effective operation of the real and personal property assistance programs under the provisions of sections 203(i), 203(k), and 203(n) of the Federal Property and Administrative Services Act of 1949, including the preparation of materials for the information of health and educational institutions and civil preparedness organizations;

2. Providing technical and programmatic direction to the Regional Offices for accomplishing the goals of the Federal Property Assistance Program;

3. Making determinations and allocations for educational, public health, and civil defense purposes as outlined by section 203(j) of the Federal Property and Administrative Services Act of 1949, as amended, and Federal Civil Defense Administration (Civil Defense Preparedness Agency) Delegation 5; taking such action as may be necessary in connection with the assignment, transfer, and utilization of surplus property for educational and public health purposes pursuant to section 203(k) of the Act; and entering into cooperative agreements pursuant to section 203(n) of the Act;

4. Maintaining a continuing appraisal and analysis of program performance and reviewing the Federal property assistance functions in the Regional Offices;

5. Monitoring a continuing program of compliance reviews to ensure that uses of real and personal properties conveyed are in accordance with the programs set forth in the transferees' applications;

6. Developing techniques and planning for effective inspection, screening, and use of all personal and real property which may become available and developing special methodologies when required to expedite donations and conveyances;

7. Serving as a member of the President's Economic Adjustment Committee, assisting in the disposal of closed or cur-

tailed military installations together with related personal property for health and educational programs; and

8. Directing a program for return of personal property from overseas operations of the United States for donation under the provisions of section 402(c) of the Act.

G. Office of Safety Management. The Office of Safety Management is responsible for the establishment and management of a comprehensive Department-wide Safety and Health Program which will provide a safe and healthful work environment for employees and the public served, and minimize losses as they relate to human resources, property, equipment and material. This program encompasses the requirements of section 7902 of Title 5 of the U.S. Code and section 19(a) of the Occupational Safety and Health Act as implemented by Executive Order 11807 and Safety and Health Provisions for Federal Employees, Title 29, CFR, Part 1960. Specifically, the Office shall be responsible for:

1. Developing and promulgating plans, policies, and procedures in the management of the Department-wide Safety Program encompassing all agencies and regions.

2. Advising top management of the Department on all matters pertaining to the top management and direction of the Department Safety Program and providing technical assistance to the principal operating components, regional offices, and field installations in all areas of safety management.

3. Developing, coordinating and/or promulgating safety and health standards.

4. Conducting safety management surveys and evaluations to determine program implementation and management effectiveness.

5. Preparing and/or coordinating the Department's position on proposed legislation, standards, and regulations relating to safety management.

6. Planning and administering a safety management information system.

7. Developing, coordinating, and monitoring safety education, training, and promotion activities throughout the Department.

8. Coordinating and monitoring research for development of new loss control methods and concepts.

9. Representing the Department on the Federal Safety Advisory Council, Federal Fire Council and providing official Department representation to the Department of Labor, General Services Administration, and other Federal agencies.

10. Providing Department liaison with National Fire Protection Association, National Safety Council, and other outside organizations.

Sec. 1T80.30 Delegations of authority.—A. The Director, OFEPM, is delegated: 1. The authorities vested in the Secretary by law (or delegated to the Secretary from the Administrator of General Services) and redelegated to the Assistant Secretary for Administration and Management relating to real property management, engineering and facility planning and construction, and

building service functions (executive of the financial management authority delegated to the Assistant Secretary, Comptroller).

2. All authorities in respect to direct Federal special-purpose construction activities.

3. The authority to issue such general policies and procedures as may be necessary to govern the functions, personnel, funds, and property in order to establish and administer the Office of Facilities Engineering and Property Management.

B. 1. Delegation from the Secretary, Department of Health, Education, and Welfare to the Assistant Secretary for Administration and Management of authorities vested for the Secretary by section 203 (j), (k), and (n) of said Act, as amended, and Federal Civil Defense Administration (Defense Civil Preparedness Agency) Delegation 5. The delegated authority may be redelegated.

2. Delegation from the Assistant Secretary for Administration and Management to the Director, Office of Facilities Engineering and Property Management, of all authorities vested in the Assistant Secretary for Administration and Management to administer the Federal surplus property program. The delegated authority may be redelegated.

3. Delegation from the Director, Office of Facilities Engineering and Property Management to the Director, Office of Surplus Property Utilization, of all authorities vested in the Director, Office of Facilities Engineering and Property Management to administer the Federal surplus property program. The delegated authority may be redelegated. This delegation is concurrent with a delegation to the Regional Directors.

4. Delegation from the Director, Office of Facilities Engineering and Property Management to the several Regional Directors of the Department of Health, Education, and Welfare of the authorities vested in the Director, Office of Facilities Engineering and Property Management to administer the Federal surplus property program. The delegated authority may be redelegated.

The authorities delegated herein supersede all previous delegations of authority on this subject matter and were effective upon execution.

C. The authorities delegated are subject to the reservations of authority in the Secretary in chapter 1A of the Department's statement of organization, functions, and delegations of authority of the Department's "Organization Manual."

D. The Director, Office of Facilities Engineering and Property Management, is delegated: 1. Authority for Department-wide coordination of the implementation of the Uniform Relocation Act, Public Law 91-646.

2. Responsibility for the development and interpretation of policies, procedures, and regulations for the act; and for the preparation for the Secretary's transmittal to the President of reports required by section 214 of the act or other reports. Certain other authorities under

the act, with regard to project administration, have been delegated to agency heads.

3. Further redelegation of this authority is not authorized.

Dated: October 8, 1975.

JOHN OTTINA,

Assistant Secretary for

Administration and Management.

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SOCIAL SECURITY ADMINISTRATION

Statement of Organization, Functions and Delegations of Authority

Part 4 of the Statement of Organization, Functions and Delegations of Authority for the Department of Health, Education, and Welfare contains the Statement of Organization, Functions and Delegations of Authority for the Social Security Administration (SSA). Sections 4-05-00 through 4-05-20 of the SSA Statement (40 FR 4476-77, dated January 30, 1975) describe the Mission, Organization, Order of Succession, and Functions for SSA's Office of Program Operations (OPO). These sections are hereby amended and restated to reflect changes in OPO's Statements of Mission, Organization, Order of Succession, and Functions; establishment of the position of Deputy Associate Commissioner for Program Operations; modifications in the Immediate Office of the Associate Commissioner for Program Operations; establishment of Headquarters staff components; abolishment of the Bureau of Field Operations; and retitling of OPO's program centers as "SSA program service centers." Also reflected is a reorganization of the Office of the Regional Commissioner which provides for abolishing the Office of the Regional Representative, Disability Insurance; the Office of the Regional Representative, Retirement and Survivors Insurance; the Office of the Regional Planning Officer, Supplemental Security Income; and the Office of the Regional Representative, Field Operations. Reorganization of the Office of the Regional Commissioner includes the establishment of the Office of the Assistant Regional Commissioner, Disability Insurance; Office of the Assistant Regional Commissioner, Retirement and Survivors Insurance; Office of the Assistant Regional Commissioner, Supplemental Security Income; Office of the Assistant Regional Commissioner, Field Operations; and regional staff organizations. The revised OPO material reads as follows:

Sec. 4-05-00 Office of Program Operations—(Mission). The Office of Program Operations (OPO) provides executive direction and coordination to all aspects of SSA's cash benefit program operations. It provides line direction to a nationwide field organization of ten regional offices, six SSA program service centers and over 1,300 local offices. The Office also directs four Headquarters bureaus responsible for retirement and survivors insurance operations; disability

insurance operations; supplemental security income operations; and data processing. OPO implements policy decisions and directives through development and issuance of procedures and program instructions for cash benefit operations. It plans and directs procedural, systems, and direct management support activities. OPO assures that regional offices provide effective leadership to field operations, relationships with States, and implementation of the SSA public affairs programs. The Office is responsible for evaluating the operational effectiveness of all of the above activities.

Sec. 4-05-10 Office of Program Operations—(Organization). The Office of Program Operations, under the leadership of the Associate Commissioner for Program Operations, consists of the:

A. Associate Commissioner for Program Operations.

B. Deputy Associate Commissioner for Program Operations.

C. Immediate Office of the Associate Commissioner for Program Operations, which includes:

1. OPO Executive Officer.
2. Equal Opportunity Staff.
3. Evaluation and Special Projects Staff.

D. Office of Management.

E. Office of Operations, Systems and Coordination.

F. Bureau of Data Processing.

G. Bureau of Disability Insurance.

H. Bureau of Retirement and Survivors Insurance.

I. Bureau of Supplemental Security Income.

J. Office of the Regional Commissioner (located in each of SSA's 10 geographical regions nationwide), which includes:

1. External Affairs Staff.
2. Division of Management.
3. Division of Program Evaluation and Coordination.
4. Office of the Assistant Regional Commissioner, Field Operations.
5. Office of the Assistant Regional Commissioner, Supplemental Security Income.
6. Office of the Assistant Regional Commissioner, Retirement and Survivors Insurance.
7. Office of the Assistant Regional Commissioner, Disability Insurance.

Sec. 4-05-20 Office of Program Operations—(Functions)

A. 1. The Associate Commissioner for Program Operations is directly responsible to the Commissioner of Social Security for performance of OPO's mission and provides general supervision to the principal components of OPO.

2. During the absence or disability of the Associate Commissioner for Program Operations, or in the event of a vacancy in this position, the Deputy Associate Commissioner for Program Operations shall act as Associate Commissioner.

3. In the event of the absence or disability of both the Associate Commissioner and the Deputy Associate Commissioner for Program Operations, an OPO executive designated by the Associate Commissioner shall serve as acting head of the Office of Program Operations.

4. Should both the positions of Associate Commissioner and Deputy Associate Commissioner for Program Operations become vacant, as SSA official

designated by the Commissioner of Social Security shall serve as acting head of the Office of Program Operations.

B. The Deputy Associate Commissioner for Program Operations assists the Associate Commissioner in carrying out his responsibilities and performs such other duties as the Associate Commissioner may prescribe.

C. The Immediate Office of the Associate Commissioner for Program Operations:

1. The OPO Executive Officer assists the Associate Commissioner and Deputy Associate Commissioner in the overall management of OPO.

2. The Equal Opportunity Staff (EOS):

a. Serves as the personal staff to the Associate Commissioner in directing and coordinating formulation of the OPO Affirmative Action Plan in the central and regional offices, and tracks accomplishment of affirmative action goals for the Associate Commissioner.

b. Provides technical expertise to the Associate Commissioner in the exercise of equal opportunity responsibilities and, through a continuing analysis of equal opportunity activities, identifies significant trends in the assigned areas of responsibility and recommends projects and programs to the Associate Commissioner to assure the fulfillment of OPO equal opportunity objectives.

3. The Evaluation and Special Projects Staff (ESPS):

a. Serves as the personal staff to the Associate Commissioner in conducting analyses and studies of unusual, significant and/or complex nonrecurring issues.

b. Conducting and/or coordinates overall OPO operational and administrative evaluation activities centrally and in the field. Designs and directs an OPO-wide program of surveys, which includes continuing nationwide review and evaluation of cash benefit program operations.

c. Maintains ongoing liaison with the Office of Quality Assurance, Office of Management and Administration, and provides a focal point within OPO for the receipt and dispatch of quality appraisal related data.

d. Establishes operational standards, such as claims processing times, accuracy and work production rates.

D. The Office of Management (OM):

1. Develops and coordinates a broad range of OPO management policies and procedures, coordinates their implementation and appraises their effectiveness.

2. Provides overall guidance and coordination to central and regional OPO component management activities to assure effective and economical in management areas, including facilities, space and equipment management; organization and position management; management information and planning; financial and budget management; manpower management; training and career development; and labor relations.

3. Coordinates OPO management programs with total SSA management activities.

4. Assures that OPO components apply proper management practices, in accordance with established guidelines, and conducts studies and analyses to measure the effectiveness and consistency of central and regional OPO administration practices and to improve these practices, where necessary.

E. The Office of Operations, Systems and Coordination (OOSC):

1. Develops and/or coordinates a broad range of OPO operational and systems policies and procedures that relate to more than one bureau.

2. Coordinates systems development and planning activities within OPO, and with other SSA components, to assure that OPO systems needs are met and effectively coordinated with SSA-wide systems development and planning efforts.

3. Develops and recommends OPO operational priorities and objectives.

4. Provides overall guidance and coordination to the development and issuance of operational instructions and issuances required to implement SSA program policies.

5. Monitors and appraises OPO efforts in meeting systems and operational planning objectives.

F. The Bureau of Data Processing (BDP):

1. Manages SSA's operating ADP systems, including systems analysis and design; programming; and computer and telecommunications operations.

2. Establishes and maintains the basic records supporting programs administered by SSA, including records and accounts for determining entitlement to and computation of cash benefits, and for determining entitlement to and utilization of health insurance benefits.

3. Develops earnings reporting standards and procedures for employers and the self-employed, and investigates and resolves reporting and earnings record discrepancies.

4. Furnishes necessary data to the Department of the Treasury for proper crediting of amounts to the Social Security Trust Funds.

G. The Bureau of Disability Insurance (BDI):

1. Develops, coordinates and issues implementing instructions, consistent with program policy directives and specifications, for carrying out the claims and benefits processes of the disability insurance (DI) program and related responsibilities for the supplemental security income and black lung programs; develops, coordinates and issues technical medical policies and standards for these programs; and evaluates the operational effectiveness of the DI claims process and related actions.

2. Manages central disability operations, including review and authorization of disability claims; certification of benefit payments; and maintenance of disability beneficiary rolls.

3. Develops, evaluates, recommends and coordinates operating systems, methods, procedures and instructions for central disability operations.

4. Provides technical guidance and advice to SSA regional offices concerning the disability determination process.

5. Develops, in cooperation with DHEW's Rehabilitation Services Administration, policies and procedures for administration of the disability beneficiary rehabilitation program and maintains relationships with national organizations of State Vocational Rehabilitation Directors and other related organizations.

H. The Bureau of Retirement and Survivors Insurance (BRSI):

1. Develops, coordinates and issues implementing instructions, consistent with program policy directives and specifications, for carrying out the claims and benefit payment processes of the retirement and survivors insurance (RSI) program, and evaluates the operational effectiveness of the RSI claims process and related actions.

2. Manages a network of six SSA program service centers responsible for review and authorization of retirement and survivors claims and of health insurance entitlement; supplementary medical insurance premium collection; certification of benefit payments; and maintenance of RSI benefit rolls.

3. Develops, evaluates and implements operating systems, methods and instructions governing the claims and post-adjudicative processes and folder control activities of the SSA program service centers; and directs RSI critical case and benefit accounting programs.

4. Provides technical advice and guidance to SSA regional offices concerning the RSI determination process.

5. Coordinates SSA program service center operating procedures, including ADP operations, with other SSA components and Federal agencies having responsibility in related work areas.

6. Directs administration of social security programs abroad.

I. The Bureau of Supplemental Security Income (BSSI):

1. Develops, coordinates and issues implementing instructions, consistent with program policy directives and specifications, applicable to the supplemental security income (SSI) program and its claims and benefit payment processes.

2. Provides technical advice and assistance to SSA regional offices concerning the SSI determination process and in negotiations and continuing interfaces with State welfare agencies.

3. Manages the certification of SSI payments and evaluates the operational effectiveness of the SSI claims process and related actions.

J. The Office of the Regional Commissioner (ORC) serves as the principal SSA component at the regional level and assures effective SSA interface with DHEW, other Federal agencies, State Welfare Agencies, Disability Determination Sections and other organizations. ORC provides regional program leadership and technical direction for the retirement, survivors and disability insurance programs and the supplemental security income program; issues regional operating policy and procedures for these pro-

grams; and evaluates program effectiveness. It implements national operational and management plans for providing direct SSA service to the public. ORC manages and coordinates an effective SSA regional operation, consistent with national and regional operational requirements, as well as systems and policy directives. It performs a broad administrative overview of the regional offices of SSA's Bureau of Health Insurance and Bureau of Hearings and Appeals, SSA program service centers and BDP data operations centers, to assure effective regional coordination of SSA activities. ORC directs a nationwide network of district offices, branch offices and teleservice centers which serve as the interface between SSA and the public. It implements a regional SSA public affairs program and provides management support to field operations. The Office includes the following components and functions:

1. *The External Affairs Staff (EAS)*: a. Provides overall leadership and direction to the regional SSA external affairs program; analyzes and evaluates regional public affairs activities; enunciates regional public affairs policies consistent with nationally-issued policies in this area; and directs the operations of the Regional Public Affairs Council.

b. Serves as the primary regional interface with news media, community organizations and Congressional staff on questions and problems of a nationwide nature.

c. Manages and oversees the regional public information program; prepares and disseminates public information materials; coordinates the development and implementation of regional information and referral programs; and serves as liaison with the Office of External Affairs at SSA headquarters.

2. *The Division of Management (DM)*: a. Directs a regional management program to assure effective and economical management activities; develops and implements management policies and procedures; and appraises the overall effectiveness of regional management programs.

b. Assures that Assistant Regional Commissioners and their staffs are operating in accordance with national and regional policies regarding financial, manpower, and organization management, as well as other areas of administrative concern.

c. Represents the focal point for regional administrative planning and conducts ongoing studies and analyses to improve administrative practices in the region.

d. Coordinates all SSA administrative management activities in the region with the DHEW Regional Office and serves as regional liaison with that Office on matters of mutual interest in the management area.

3. *The Division of Program Evaluation and Coordination (DPEC)*: a. Conducts an ongoing evaluation of overall SSA regional program administration, including the effectiveness of interaction

between program and operational components; identifies operating problems affecting more than one SSA regional component; and initiates or conducts studies and analyses of problem areas and recommends corrective action.

b. Coordinates the integration of the program activities for which the Regional Commissioner is responsible; develops recommendations for changes in procedures or policies that cross component lines; and maintains liaison with regional health insurance, hearings and appeals, SSA program service center and data operations center components.

c. Provides nationwide leadership and direction to systems planning and coordination for both operational and management systems; establishes regional systems policies and standards; oversees systems activities in the region to assure optimum efficiency and maximum integration of the various systems; provides technical assistance and expertise in systems matters to all regional components; assists in the resolution of operational problems caused by systems malfunctions; and provides regional liaison with systems components of central office bureaus.

d. Coordinates regional program operations planning efforts and develops regional work plans.

4. *The Office of the Assistant Regional Commissioner, Field Operations (OARCF)*: a. Serves as the focal point of line authority through which management and operational aspects of district and branch office and teleservice center responsibility and performance are supervised and coordinated. These field offices are responsible for informing people of the purposes and provisions of programs administered by SSA and their rights and responsibilities thereunder; assisting the public in filing claims for retirement, survivors, health and disability insurance benefits, black lung benefits, and supplemental security income; developing and adjudicating claims; assisting certain beneficiaries in claiming reimbursement for medical expenses; conducting development of cases involving earnings record, coverage, and fraud-related questions; making rehabilitation service referrals; and assisting claimants in filing for reconsiderations, hearings and appeals of decisions as to benefit entitlement or amount.

b. Provides leadership, guidance and direction to district and branch offices and teleservice centers through onsite area directors.

c. Insures consistency of field operations in the region with national and regional policies and procedures, and is accountable to the Regional Commissioner for the effectiveness of these operations.

5. *The Office of the Assistant Regional Commissioner, Supplemental Security Income (OARCSI)*: a. Provides program leadership and technical direction for the SSI program in the region; issues regional operating policy and procedures necessary to insure adequate and effective implementation of SSI program

policy; conducts visits to district offices to determine the effectiveness of policies and procedures and to provide technical assistance in the resolution of SSI operational problems; and evaluates SSI program effectiveness regionwide.

b. Negotiates and maintains agreements with States relative to the administration of statutory and regulatory provisions concerning optional State supplementation, mandatory minimum State supplementation and Medicaid eligibility determinations, and evaluates and monitors State budgets developed pursuant to these agreements; and maintains an ongoing dialogue with States and negotiates with them on SSI program matters and related concerns, such as determinations of adjusted payment levels, hold harmless levels and the operational aspects of the Food Stamp Program.

c. Assists the ORC External Affairs Staff in the development and implementation of the regional information and referral program.

6. *The Office of the Assistant Regional Commissioner, Retirement and Survivors Insurance (OARCSI)*: a. Provides program leadership and technical direction for the RSI program in the region; issues regional operating policy and procedures necessary to insure adequate and effective implementation of RSI program policy; conducts visits to district offices to determine the effectiveness of policies and procedures and to provide technical assistance in the resolution of RSI operational problems; and evaluates RSI program effectiveness regionwide.

b. Resolves conflicts relating to the RSI program involving line officials in local SSA offices and SSA program service centers.

c. Negotiates with State officials on social security coverage for State employees and recommends action on proposed modifications to basic agreements for such coverage; and provides SSA regional expertise on State and local coverage matters.

7. *The Office of the Assistant Regional Commissioner, Disability Insurance (OARCDI)*: a. Provides program leadership and technical direction for the DI program in the region; issues regional operating policy and procedures necessary to insure adequate and effective implementation of DI program policy; conducts visits to and ongoing liaison with district offices and State agencies to determine the effectiveness of policies and procedures and to provide technical assistance in the resolution of DI operational problems; and evaluates DI program effectiveness regionwide.

b. Approves State agency budgets and provides technical consultation on fiscal and other administrative aspects of State agency operations and conducts comprehensive reviews and analyses of State agency operations.

c. Coordinates with regional representatives of DHEW's Rehabilitation Services Administration and other agencies on disability program matters, and

establishes and maintains relationships with professional medical organizations to promote DI program goals.

Dated: November 20, 1975.

JOHN OTTINA,
Assistant Secretary for Administration and Management.

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SOCIAL SECURITY ADMINISTRATION

Statement of Organization, Functions and Delegations of Authority

Part 4 of the Statement of Organization, Functions and Delegations of Authority for the Department of Health, Education, and Welfare contains the Statement of Organization, Functions and Delegations of Authority for the Social Security Administration (SSA). Sections 4-04-00 through 4-04-20 of the SSA Statement (40 FR 4476 dated January 30, 1975) describe the Mission, Organization, Order of Succession and Functions for SSA's Office of External Affairs (OEA). These sections are hereby amended and restated in their entirety to reflect changes in OEA's mission statement, order of succession and existing component functional statements; to incorporate information concerning the addition of three new OEA components—the Office of Intergovernmental Relations and Public Concerns, the Congressional Relations Staff, and the Press Office; and to indicate that OEA's former Office of Public Affairs is being retitled as the Office of Information. The revised OEA material reads as follows:

Section 4-04-00 Office of External Affairs—(Mission). The Office of External Affairs (OEA) plans, coordinates and evaluates SSA's nationwide program for effective interaction with the public, Congress, the press, international social security organizations and foreign social security systems, other Federal agencies, State agencies, and community and private organizations, regarding SSA-administered programs and related programs and services. It provides SSA representation and participation in organized planning for social services. OEA develops programs and materials to assure public knowledge and understanding of protections, rights and responsibilities under programs administered by SSA. The Office identifies and assesses problems in public acceptance of SSA programs and administration, serving as the advocate of public concerns within SSA. It receives, analyzes and controls high priority inquiries and conducts an ongoing quality appraisal of written responses to public inquiries prepared throughout SSA. It assures SSA adherence to the Freedom of Information Act and the Privacy Act.

Section 4-04-10 Office of External Affairs—(Organization). The Office of External Affairs, under the leadership of the Associate Commissioner for External Affairs, consists of the:

A. Associate Commissioner for External Affairs.

B. Immediate Office of the Associate Commissioner for External Affairs.

C. Office of Intergovernmental Relations and Public Concerns.

D. Congressional Relations Staff.

E. Press Office.

F. Office of Information.

G. Office of Public Inquiries.

Section 4-04-20 Office of External Affairs—(Functions). A.1. The Associate Commissioner for External Affairs is directly responsible to the Commissioner of Social Security for performance of OEA's mission and provides general supervision to the principal components of OEA.

2. In the event that the Associate Commissioner for External Affairs is absent or disabled, the Director of the Office of Intergovernmental Relations and Public Concerns shall serve as acting head of the Office of External Affairs.

3. Should the position of Associate Commissioner for External Affairs become vacant, an SSA official designated by the Commissioner of Social Security shall serve as acting head of the Office of External Affairs.

B. The Immediate Office of the Associate Commissioner for External Affairs assists the Associate Commissioner in the performance of his responsibilities and handles such other assignments as he may prescribe.

C. The Office of Intergovernmental Relations and Public Concerns: 1. Plans, conducts and coordinates SSA's interactions with outside public and private organizations at the national, international, State and local levels; coordinates SSA representation or represents it in national level negotiations and deliberations with government agencies, social and community service agencies, organizations, and advisory groups; and assures appropriate SSA representation at high level conferences and seminars in both the public and private sectors.

2. Assesses public acceptance of SSA programs and administration, and serves as the advocate within SSA of public concerns regarding such matters.

3. Identifies the needs of SSA's constituency for resources and services other than those provided by SSA programs, and directs a nationwide program of SSA representation and participation in organized planning for social services.

4. Provides national guidelines and standards for SSA's information and referral activities.

5. Coordinates relationships between SSA and international organizations concerned with social security matters; foreign social security systems, and the Department of State and other agencies involved in international affairs; participates in the formulation and implementation of U.S. policy relating to international social security matters; and provides training and orientation in social security and allied fields to officials of foreign social security systems and other foreign visitors; consults and coordinates with OS/OIAM on international matters of interest to the Department and on policy matters involving the State Department or other U.S. Govern-

ment agencies; coordinates as appropriate with the Office of Research and Statistics, identifying issues and trends arising in SSA's international affairs activities which call for research.

D. Congressional Relations Staff: 1. Has agency-wide responsibility for the provision of support services to individual Members of Congress and their staffs, including case work pertaining to SSA claimants and beneficiaries. This responsibility may be delegated to operating headquarters and field units.

2. Is responsible for the fulfillment, on an agency-wide basis, of the agency's general policy for quick and responsive answers to inquiries and questions raised by individual Members of Congress and for the solution to special problems and issues drawn by individual Members of Congress.

3. Specifically responsible for keeping the Congress generally informed concerning SSA operations and activities, including the coordination of all congressional reports (except those dealing with legislation pending before Congress or under consideration by a legislative committee of Congress), as well as for special presentations or briefings of the Congress concerning SSA activities and programs.

4. Directs and participates in highly sensitive negotiations, initiated by Members of Congress and their staffs, to resolve difficult issues.

5. Assures effective and expeditious SSA attention to problem situations and other congressional concerns, and anticipates and averts potential problems in SSA-congressional relationships.

6. Explains and interprets SSA experience, plans, options, constraints and problems in response to expressions of congressional interest.

7. Coordinates as appropriate in relation to the above activities with the Assistant Secretary for Legislation, Office of the Secretary.

E. Press Office: 1. Guides and coordinates all SSA press activities, and prepares and issues news items for national release and for release through district offices.

2. Maintains contacts with members of the working press and responds to requests for information and assistance from newspapers, radio and TV network news departments, news and general magazines and the specialized press.

3. Prepares news and feature stories for the Baltimore press on SSA headquarters events, programs of community interest, and the accomplishments and activities of SSA employees.

4. Analyzes press coverage of social security and Medicare programs to assess public reaction, and prepares the Daily Press Service for the SSA Executive Staff and Regional Commissioners.

F. Office of Information: 1. Provides direction to SSA's information activities to assure public knowledge and understanding of programs administered by SSA.

2. Develops and evaluates goals, objectives, policies, standards and guide-

lines for SSA public information activities.

3. Assesses nationwide public information needs and carries out comprehensive and diversified programs to inform the public of the purposes and provisions of SSA-administered programs, program additions and changes, and of people's rights and responsibilities under these programs.

4. Prepares and determines distribution of a wide variety of public information materials on all phases of SSA-administered programs.

5. Evaluates and assures the high quality of informational materials distributed to the public and provides technical guidance for public affairs training in SSA.

6. Exercises SSA Headquarters authority to deny requests for information under the Freedom of Information Act and the Privacy Act of 1974, and assures that these Acts are appropriately administered throughout SSA.

G. *Office of Public Inquiries*: 1. Establishes, promulgates and assesses SSA policy for processing public and Congressional correspondence.

2. Receives, analyzes and controls high priority written and telephone inquiries, replying to many of them, and referring to other SSA components, as necessary, those inquiries requiring specialized knowledge.

3. Studies SSA-wide correspondence experience and practices; performs on ongoing quality appraisal of written responses to public inquiries prepared throughout SSA; develops recommendations designed to improve the effectiveness of SSA's public correspondence and to maintain and enhance its consistency and accuracy; and conducts training programs in SSA field and headquarters components to improve correspondence to the public.

4. Provides advice and assistance to SSA officials and liaison with DHEW on public correspondence matters.

Dated: November 20, 1975.

JOHN OTTINA,
Assistant Secretary for
Administration and Management.

[FR Doc.75-32399 Filed 12-1-75; 8:45 am]

Office of Education

NATIONAL ADVISORY COUNCIL ON EXTENSION AND CONTINUING EDUCATION

Notice of Public Meeting of the Federal Programs Evaluation Committee

Notice is hereby given, pursuant to the Federal Advisory Committee Act, Pub. L. 92-463, that a meeting of the Federal Programs Evaluation Committee of the National Advisory Council on Extension and Continuing Education will be held on December 16, 1975, in the Council Office, 425 13th St., N.W., Suite 529, Washington, D.C. The meeting will begin at 9:00 a.m. and adjourn at 4:30 p.m.

The National Advisory Council on Extension and Continuing Education is au-

thorized under Pub. L. 89-329. The Council is directed to advise the Commissioner of Education in the preparation of general regulations and with respect to policy matters arising in the administration of Title I, and to report annually to the President on the administration and effectiveness of all federally supported extension and continuing education programs, including community service programs.

The meeting of the Federal Programs Evaluation Committee will be open to the public, but because of the limited space available in the Council office, anyone wishing to attend the meeting should inform the Council's staff office (376-8888) no later than December 11, 1975. The purpose of the meeting will be to review all Office of Education programs having extension and community service components. All records of Council proceedings are available for public inspection at the Council's staff office, located in Suite 529, 425 13th St., N.W., Washington, D.C.

RICHARD F. MCCARTHY,
Association Director.

NOVEMBER 24, 1975.

[FR Doc.75-32396 Filed 12-1-75; 8:45 am]

Public Health Service

OFFICE OF THE ASSISTANT SECRETARY OF HEALTH

Statement of Organization, Functions and Delegations of Authority

Part 11, Chapter 11, in the Statement of Organization, Functions, and Delegations of Authority of the Department of Health, Education, and Welfare, entitled Office of the Assistant Secretary for Health (38 FR 18571-74, as amended) is amended to update the division functional statements for the Office of Program Implementation (OPD) and the functional statements for certain organizational segments within the Office of Administrative Management (OAM) to include new and transferred responsibilities.

Section 11-B, *Organizations and Functions*, is changed as follows: Under the heading entitled *Office of Program Implementation (IN13)*, amend the statement for the *Division of Health Research and Protection Operations (IN1303)* by adding the following as the last sentence: "Serves as focal point for the PHS on matters pertaining to fair information practices, including implementation of the Privacy Act of 1974."

Amend the statement for the *Division of Health Services and Prevention Operations (IN1305)* by deleting the last three words "fair information practices" and substituting "freedom of information."

Under the heading entitled *Office of Administrative Management (IN19)*, amend the following statements:

Administrative Services Center (IN1903)—Change the first sentence of the third paragraph to read: "Develops Public Health Service policy and proce-

dures for printing, duplicating, and material management."

Division of Management Sciences and Systems (IN19055)—Delete the period at the end of the first sentence and insert the words "for ADP and telecommunications."

Division of Financial Management (IN19095)—Delete the current statement and substitute the following:

Division of Financial Management (IN19095)—The Director of the Division of Financial Management serves as the principal advisor in the area of financial management activities and provides leadership for the direction and improvement of financial management functions; develops policies, financial management procedures, and systems for use throughout the PHS and coordinates the preparation and presentation of budget estimates; participates in the development of the five-year program and financial plan in cooperation with the Office of Policy Development and Planning; directs and manages a system of budgetary, expenditure, and position controls; develops policies and procedures for the PHS direct loan, loan guarantee and interest subsidy programs; provides marketing for direct loan activities; provides assistance and technical guidance to financial management staffs throughout the PHS; assures that the PHS prepares and conducts analyses of financial reports; and maintains liaison with the Office of the Secretary and the Office of Management and Budget.

Division of Grants and Contracts (IN19097)—Delete the current statement and substitute the following:

Division of Grants and Contracts (IN19097)—In the area of grants, procurement, and cost management, the Director of the Division of Grants and Contracts serves as the principal advisor within PHS for developing policies, guidelines, and procedures; provides leadership and direction for the optimum utilization of contracts and grants; reviews and evaluates the effectiveness of established policy and procedures and recommends improvements; provides liaison for PHS with the Office of the Secretary, other Government agencies, and the private sector; coordinates the Small Business Program, including the Minority Business Program of PHS; and prepares reports as required.

Division of Health Facilities Planning (IN19099)—Strike the phrase "develops safety management and telecommunications policies for the Public Health Service" and substitute the phrase "develops safety management policy for the Public Health Service". At the end of the text, delete the period, add a semicolon and the following statement: "administers the Federal Buildings Fund (established by Pub. L. 92-313) for all GSA-assigned space."

JOHN OTTINA,
Assistant Secretary for
Administration and Management.

NOVEMBER 21, 1975.

[FR Doc.75-32352 Filed 12-1-75; 8:45 am]

DEPARTMENT OF TRANSPORTATION

Office of Hazardous Materials Operations,
Materials Transportation Bureau

HAZARDOUS MATERIALS REGULATIONS

Applications for Exemptions or Renewals

In accordance with the procedures governing the application for, and the processing of, exemptions from the Department of Transportation's Hazardous Materials Regulations (49 CFR Part 107, Subpart B), notice is hereby given that the Office of Hazardous Materials Operations has received applications for exemptions and renewals of exemptions, that are described below. The modes of transportation requested are identified by a number in the "Nature of Application" portion of the table below as follows: 1—Motor Vehicle, 2—Rail Freight,

3—Cargo Vessel, 4—Cargo-only Aircraft, 5—Passenger-carrying Aircraft.

Complete copies of the applications are available for inspection and copying at the Public Docket Room, Office of Hazardous Materials Operations, Department of Transportation, Room 6213, Trans Point Building, 2100 Second Street, S.W., Washington, D.C.

Interested persons are invited to submit views or comments with respect to any one or more of the applications. Comments should refer to the application number and be submitted in duplicate to the Docket Section, Office of Hazardous Materials Operations, Department of Transportation, Washington, D.C. 20590. All comments received before the close of business on the specified comment closing date will be considered and will be available for inspection and copying, both before and after the closing date.

New exemptions

Application No.	Applicant	Regulation(s) affected	Nature of application
75-39	Fike Metal Products Corp., Blue Springs, Mo.	Sec. 178.50-5	To allow the use of a type of welded tubing not presently authorized in the specifications for DOT 4B300 cylinders (mode 1).
75-40	Fuller System, Inc., Woburn, Mass.	Sec. 173.377	To qualify packages of certain organic phosphate compounds, dry, containing less than 25 pct active ingredients, under the type of exemptions provided in sec. 173.359(c) for liquids (mode 1).
75-41	Controlled Demolition, Inc., Towson, Md.	14 CFR, secs. 103.9, 103.19, and 103.31.	To amend Federal Aviation Exemption 2159 to allow the transportation of subject explosives in DOT specification boxes which have been opened and then resealed (mode 4).
75-42	Bio-Lab, Decatur, Ga.	Sec. 173.217	To amend special permit 6267 to provide modifications to the 2-gal polyethylene pail for granular as well as the compressed forms of subject commodity (mode 1).
75-43	Armak Co., McCook, Ill.	Sec. 173.119(b)	To amend special permit 6800, to allow the shipment of certain flammable liquids in subject 55 gal, closed head polyethylene drums, and in DOT 34-45 containers (modes 1, 2, 3).
75-44	Saturn Airways, Inc., Oakland, Calif.	14 CFR, sec. 103.9.	To allow the transportation of class B and class C explosives, and flammable liquids, in quantities in excess of those now authorized (mode 4).
75-45	Carrier Corp., Syracuse, N.Y.	Sec. 173.306 and 46 CFR 146.24-100.	To amend special permit 5013, to provide for additional gases in the group I refrigerants category and to clarify certain packaging requirements (modes 1, 2, 3).
75-46	Magna Corp., Houston, Tex.	Sec. 173.122 and 46 CFR 146.31-100.	To allow shipments of inhibited acrolein in DOT specification 51 portable tanks exceeding capacity and weight limitations. (modes 2, 3).
75-47	Trojan-U.S. Powder, Allentown, Pa.	Sec. 173.182 and 46 CFR 146.22-300.	To amend special permit 3307 to allow the use of a poly tubing bag, having a triple ply, 7 mil wall, for nitrocarbo-nitrate (modes 1, 2, 3).
75-48	Union Carbide Corp., Tarrytown, N.J.	Sec. 173.304	To allow the shipment of ethylene oxide-compressed gas mixtures in DOT specification 39 cylinders (modes 1, 2, 3).
75-49	United Technologies, Sunnyvale, Calif.	Sec. 173.65	To allow shipments of trichlorotrinitrobenzene, wet, a class A explosive, in polyethylene bags overpacked in a DOT specification 21 C fiber drum (modes 1, 2).
75-50	American Hoechst Corp., Somerville, N.J.	Sec. 173.131-9	To allow the use of foreign-made drums comparable to DOT 37A drums, without markings, for poison solids, class B, and certain corrosive materials (modes 1, 2).
75-51	Electrochimica Corp., Mountain View, Calif.	Sec. 173.306(d)	To allow the shipment of lithium batteries not presently provided for in the regulations (modes 1, 4).
75-52	Advanced Chemical Technology, City of Industry, Calif.	49 CFR pt. 173	To convert special permit 6657 to an exemption for their 55-gal polyethylene drum for corrosives and certain flammable liquids, and poisons (modes 1, 2, 3).
75-53	do	Secs. 173.346 and 173.353.	To convert special permit 6787 to an exemption for their 55-gal polyethylene drum and DOT-34 container for certain poisons (modes 1, 2, 3).
75-54	do	Sec. 173.245(b)	To convert special permit 7011 to an exemption for their removable head polyethylene drum for caustic soda beads (modes 1, 2, 3).

The closing date for filing comments on the above applications is: December 31, 1975.

Renewals

Application No.	Applicant	Regulation(s) affected	Nature of application
75-55	Kerr-McGee Chemical Corp., Oklahoma City, Okla.	Sec. 173.154(a)	To renew special permit 6145 allowing the transportation of sodium and magnesium perchlorate solutions in DOT specification cargo tanks (mode 1).
75-56	Military Traffic Management Command (MTMC) Washington, D.C.	Secs. 173.87 and 173.400	To renew special permit 3600 allowing shipments of rocket engines, without liquid propellants, but with explosive components (mode 1).
75-57	MTMC, Washington, D.C.	Sec. 173.93	To renew special permit 5777 allowing the comingling of certain explosives (modes 1, 2).
75-58	do.	Sec. 173.80	To renew special permit 5208 allowing shipments of ammunition for cannon containing irritating material (mode 1).
75-59	do.	Secs. 173.65 and 177.835	To renew special permit 6685 allowing shipments of a class A explosive, wet with water (mode 1).
75-60	do.	Sec. 173.385	To renew special permit 5717 allowing shipments of an irritating material (solid) in packages not presently authorized (mode 1).
75-61	do.	Secs. 173.268 and 173.119 and 46 CFR 146.23-100, 146.21-100.	To renew special permit 5746 allowing shipments of expended rocket engines containing residual amounts of corrosive liquid or flammable liquid (modes 1, 2, 3).
75-62	do.	Secs. 173.79 and 173.92	To renew special permit 3415 allowing the transportation of certain rocket motors, without overpacking, on flatbed motor vehicles (mode 1).

The closing date for filing comments on the above applications for renewal is: December 16, 1975.

J. R. GROTHE,
Chief, Exemptions Branch, Office of Hazardous Materials Operations.

[FR Doc.75-32258 Filed 12-1-75; 8:45 am]

SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION

ADVISORY BOARD

Open Meeting

Notice is hereby given pursuant to the Federal Advisory Committee Act, section 10(a) (2), dated October 6, 1972, that an open meeting of the Advisory Board of the Saint Lawrence Seaway Development Corporation will be held in the offices of the Corporation on the 8th floor at 800 Independence Avenue SW, Washington, D.C. on December 19, 1975 at 10:30 a.m.

Agenda items are as follows: (1) Opening remarks by the Administrator; (2) Approval of minutes of prior meeting; (3) Administrative report; (4) Program reviews; (5) Closing remarks.

Reservations and further information may be obtained from Mr. Robert Kraft, Deputy General Counsel, Saint Lawrence Seaway Development Corporation, 800 Independence Avenue SW, Washington, D.C. 20590 or by calling 202-426-3574.

Issued: November 21, 1975.

[SEAL] D. W. OBERLIN,
Administrator.

[FR Doc.75-32357 Filed 12-1-75; 8:45 am]

CIVIL AERONAUTICS BOARD

AMERICAN EXPRESS CO.

Meeting

Notice is hereby given that a presentation will be made by the American Express Company on December 16, 1975, at 2:00 p.m. (local time), in Room 1027, Universal Building, 1825 Connecticut

Avenue, N.W., Washington, D.C., on the Tour Wholesaler Industry Study.

Dated at Washington, D.C., November 26, 1975.

[SEAL] EDWIN Z. HOLLAND,
Secretary.

[FR Doc.75-32407 Filed 12-1-75; 8:45 am]

[Agreement C.A.B. 2698, R-23, etc.; Order No. 75-11-106]

INTERNATIONAL AIR TRANSPORT ASSOCIATION

Order To Show Cause Regarding Conditions of Carriage-Cargo

Adopted by the Civil Aeronautics Board at its office in Washington, D.C. on the 26th day of November, 1975.

In the matter of agreements adopted by the International Air Transport Association regarding conditions of carriage-cargo (Agreement C.A.B. 2698, R-23; Agreement C.A.B. 7648, R-107; Agreement C.A.B. 24475, R-4 and R-5, Docket 25280 Agreement C.A.B. 25186, R-12).

By filing on June 21, 1974, the International Air Transport Association (IATA) has submitted, pursuant to section 412 of the Act, Resolution 600b (Agreement C.A.B. 24475, R-4) which will restate the conditions of carriage of cargo to appear on the back of cargo air waybills (A/W/B).¹ The last previous Board approval of such conditions of carriage for both passengers and cargo occurred on September 1, 1949, IATA Traffic Conference Resolutions, 10 C.A.B. 783. Though the Board therein approved such Resolution then before it on the grounds that the "establishment of these uniform conditions should minimize the confusion and misunderstanding," the Board took pains to note that "serious questions relating to the public interest could arise,"

¹ Resolution 600j (Agreement C.A.B. 24475, R-5) deals with the Conditions appearing on the face of the A/W/B. The instant Resolutions are set forth in their entirety in Appendices A and B.

and placed its interpretation on several of the provisions. The Board concluded with the following admonition (10 C.A.B. at 793, 794):

We extend our approval for a temporary period in order to permit the immediate use of the uniform arrangements discussed herein pending revision of the provision under consideration in a manner consistent with the views expressed herein. Should the carriers fail to make such revision at their first opportunity, the public interest may require us to withdraw the approval herein granted.

In 1954, the IATA carriers filed a revision to the earlier approved Resolution (Agreement C.A.B. 7648, R-107 adopted by the IATA traffic Conferences in Honolulu in November, 1953). In considering the Honolulu revisions in Order E-8543, adopted on August 5, 1954,² the Board stated:

The Board is seriously concerned with the little progress that appears to have been made to revise the basic provisions of these agreements to meet the points raised in the aforesaid opinion. While still recognizing the importance of uniformity in the tickets, waybills, and conditions of carriage, it is of the opinion that such uniformity should not be obtained at the sacrifice of the rights of passengers and shippers, and that further approval of provisions which are otherwise adverse to the public interest is not warranted. (p. 581)

The Board, accordingly, tentatively approved some of the provisions,³ some conditionally, and tentatively disapproved others, giving parties 30 days within which to file objections.⁴ Objections were filed by the IATA carriers in which they requested the opportunity for conference with the staff of the Board for purposes of facilitating disposition of the issues. The Board authorized such informal discussions by Order E-8842, dated December 22, 1954, but no final resolution of the cargo issues ever materialized.⁵ The result is that the tentative order of August 5, 1954, with respect to cargo, never became final, and the only order of approval on cargo presently operative is

² Reprinted in Pan Am World Airways et al., Conditions of Carriage, 24 C.A.B. 575 at 580-591 (1957).

³ Concurrently, the Board provided extensive comments as to the unacceptable nature of various provisions in the Resolutions, and proposed to condition its approval in many instances (see Paragraph B, 24 C.A.B. 587). Many of such provisions on which the Board expressed its dissatisfaction are nonetheless in existence in the carriers' current tariffs.

⁴ The Board noted: The Board at this time has reviewed the proposed agreements for the purpose of indicating which specific provisions would be approved, approved on condition, or disapproved. The Board believes, however, that the carriers should give serious consideration to a complete reappraisal of these agreements. (24 C.A.B. at 582)

⁵ Conferences and exchanges of views between staff and IATA were held, resulting in the approval of a Resolution pertaining to passenger tickets and baggage checks, but nothing dealing with cargo air waybills. See Order E-11024, dated February 12, 1957, 24 C.A.B. 575.

that of September 1, 1949 (IATA Traffic Conference Resolutions, 10 C.A.B. 783).

It should be noted that the pending proceeding in Liability and Claims Rules and Practices Investigation, Docket 19923, embraces many of the conditions of carriage which are likewise presented in the past and instant IATA Resolutions.* The decision of the Administrative Law Judge is presently under review by the Board.

The Board has reviewed the instant (1974) Resolutions in the light of the history of this subject, as cited above, and has prepared comments thereon as detailed in Appendix C hereto. It is enough to state that in several material and significant respects, the Resolutions differ markedly from the position of the Board in 24 C.A.B. 587.

All in all, the Resolutions show little improvement over those resolutions considered in 10 C.A.B. 783 and 24 C.A.B. at 580. Recalling the Board's opinion at 24 C.A.B. 582, 583:

A reading of the provisions which have been submitted to us leaves the definite impression that the philosophy behind these agreements is that of limiting the carriers' liability and responsibility to the maximum in every situation where it might be conceivable that some liability or responsibility would exist, and with little regard to whether or not such provision is really required for an economically stable air transportation operation.

Upon consideration of the above designated agreements, as set forth in Appendices A and B hereto, and in view of the general findings and conclusions cited above and the more specific findings and conclusions set forth in Appendix C hereto:

A. The Board finds that pending final decision in Docket 19923, action should be deferred upon those issues so noted in Appendix C.

B. The Board finds, on a tentative basis, that those portions of Agreement CAB 24475, R-4 and R-5, as so designated in Appendix C, should be disapproved as contrary to the public interest for the reasons stated in Appendix C.

C. The Board finds, upon a tentative basis, that the proceeding considered by the Board in Order E-8543 adopted August 5, 1954, should be terminated.

D. The Board finds, upon a tentative basis, that its earlier approval of the IATA Traffic Conference Resolutions providing for the adoption of a uniform air waybill/consignment note and the conditions of contract to be printed thereon should be withdrawn.

E. The Board finds that an opportunity for comment upon the agreements as set forth in Appendices A and B hereto, as well as upon our proposed actions as specified below and in Appendix C, shall

be accorded all interested persons,* prior to final Board action upon the agreements.

To the extent that conditions of carriage are disapproved in our final order herein, such disapproval may leave in effect tariff provisions stemming from carrier discussions but inconsistent with the Act, the public interest, and our final order. While the Board will not be in a position to direct specific tariff changes, it is the Board's intention to direct the cancellation of such inconsistent tariff provisions.

Accordingly, pursuant to the Federal Aviation Act of 1958, and particularly Sections 102, 204, 403, 404, 412, and 414 thereof,

It is ordered, That: 1. Action is deferred upon those portions of the agreements so designated in Appendix C hereto;

2. All interested persons are invited to submit comments on any part of the agreements before us and are hereby directed to show cause why the Board should not make final its tentative findings set forth in findings paragraphs B through D above;

3. Comments upon the agreements and responses to this order to show cause shall be submitted within 60 days after the service of this order;

4. Replies to the comments upon the agreements or to the responses to this order to show cause shall be submitted within 75 days after service of this order;

5. Comments, responses, and replies shall be filed with an original and 19 copies with the Board's Docket Section in Docket 25280; and

6. This order will be served upon carrier members of the International Air Transport Association.

This order will be published in the FEDERAL REGISTER.

By the Civil Aeronautics Board:

[SEAL] EDWIN Z. HOLLAND,
Secretary.

Resolution 600b (Agreement C.A.B. 24475, R-4) AIR WAYBILL—CONDITIONS OF CONTRACT

(New), 106(CTPC)600b, 206(CTP)600b, 306(CTPC)600b, Expiry: Indefinite, Type: B. RESOLVED that, (1) the Conditions of Contract, prefaced by a Notice, on the reverse side of the Air Waybill/Consignment Note, read as follows:

NOTICE CONCERNING CARRIERS LIMITATION OF LIABILITY

If the carriage involves an ultimate destination or stop in a country other than the country of departure, the Warsaw convention may be applicable and the convention governs and in most cases limits the liability of the carrier in respect of loss of or damage to cargo to 250 French gold francs per kilogramme, unless a higher value is declared in advance by the shipper and a supplementary charge paid if required.

The liability limit of 250 French gold francs per kilogramme is approximately US \$20 per kilogramme on the basis of US \$42.22 per ounce of gold.

*Comments are expected from U.S.-flag carrier members of IATA and will be welcomed from foreign air carriers.

CONDITIONS OF CONTRACT

1. As used in this contract "Carrier" means all air carriers that carry or undertake to carry the goods hereunder or perform any other services incidental to such air carriage. "Warsaw Convention" means the Convention for the Unification of certain Rules relating to International Carriage by Air, signed at Warsaw, 12 October 1929, or that Convention as amended at The Hague, 28 September 1955, which ever may be applicable, and "French gold francs" means francs consisting of 65½ milligrams of gold with a fineness of nine hundred thousandths.

2. (a) Carriage hereunder is subject to the rules relating to liability established by the Warsaw convention unless such carriage is not "International Carriage" as defined by that convention;

2. (b) to the extent not in conflict with the foregoing, carriage hereunder and other services performed by each Carrier are subject to:

(i) applicable laws (including national laws implementing the Convention), government regulations, orders and requirements, (ii) provisions herein set forth, and

(iii) applicable tariffs, rules, conditions of carriage, regulations and timetables (but not the times of departure and arrival therein) of such carrier, which are made part hereof and which may be inspected at any of its offices and at airports from which it operates regular services. In transportation between a place in the United States or Canada and any place outside thereof the applicable tariffs are the tariffs in force in those countries.

3. The first Carrier's name may be abbreviated on the face hereof, the full name and its abbreviation being set forth in such Carrier's tariffs, conditions of carriage, regulations and time tables. The first Carrier's address is the airport of departure shown on the face hereof. The agreed stopping place (which may be altered by Carrier in case of necessity) are those places, except the place of departure and the place of destination, set forth on the face hereof or shown in Carrier's timetables as scheduled stopping places for the route. Carriage to be performed hereunder by several successive carriers is regarded as a single operation.

4. Except as otherwise provided in Carrier's tariffs or conditions of carriage, in carriage to which the Warsaw Convention does not apply Carriers' liability shall not exceed US\$20.00 or the equivalent per kilogramme of goods lost, damaged or delayed, unless a higher value is declared by the shipper and a supplementary charge paid.

5. If the sum entered on the face of the Air Waybill as "Declared Value for Carriage" represents an amount in excess of the applicable limits of liability referred to in the above Notice and in these Conditions and if the shipper has paid any supplementary charge that may be required by the Carrier's tariffs, conditions of carriage or regulations, this shall constitute a special declaration of value and in this case Carrier's limit of liability shall be the sum so declared. Payment of claims shall be subject to proof of actual damages suffered.

6. In cases of loss, damage or delay of part of the consignment, the weight to be taken into account in determining Carrier's limit of liability shall be only the weight of the package or packages concerned.

7. Any exclusion or limitation of liability applicable to Carrier shall apply to and be for the benefit of Carrier's agents, servants and representatives and any person whose aircraft is used by Carrier for carriage and its agents, servants and representatives. For purposes of this provision Carrier acts herein as agent for all such persons.

*While the emphasis in Docket 19923 centers on domestic issues, the proceeding also embraces the U.S. domestic leg of foreign air transportation.

† Designated Agreements C.A.B. Nos. 2698, R-41 (128/540), 2699, R-49 (248/540), and 2700, R-43 (338/540), IATA Traffic Conference Resolutions, 10 CAB 783 (1949).

8. A Carrier issuing an Air Waybill for carriage exclusively over the lines of other Carriers does so only as an agent for such other Carriers.

9. Carrier undertakes to complete the carriage hereunder with reasonable dispatch. Carrier may substitute alternate carriers or aircraft and may without notice and with due regard to the interests of the shipper substitute other means of transportation. Carrier is authorized to select the routing or to change or deviate from the routing shown on the face hereof.

10. The goods are accepted for carriage from their receipt at Carrier's terminal or airport office at the place of departure to the airport at the place of destination. If by specific agreement noted on the face hereof the goods are also accepted for forwarding to the airport of departure or for reforwarding beyond the airport of destination Carrier is hereby authorized to do all things it considers advisable to effect such forwarding or reforwarding, including the consigning of goods with no declaration of value where provisions for such declaration is not available. If such forwarding or reforwarding is by carriage provided by Carrier, the carriage shall be subject to the provisions of Paragraphs 2 and 4 hereof and the limitation of liability. Unless otherwise provided in Carrier's tariffs, conditions of carriage and related regulations, Carrier shall not be liable for loss, damage or delay occurring in the course of such additional carriage by means of transport not operated by Carrier.

11. Carrier is authorized (but shall be under no obligation) to advance any duties, taxes or charges and to make any disbursement with respect to the goods, and the shipper, owner and a consignee who accepts delivery shall be jointly and severally liable for the reimbursement thereof.

12. Shipper guarantees payment of all charges for carriage due in accordance with Carrier's tariffs, conditions of carriage and related regulations, applicable laws (including national laws implementing the Convention), government regulations, orders and requirements.

13. Notice of arrival of goods will be given promptly to the consignee or to the person indicated on the face hereof as the person to be notified. On arrival of the goods at place of destination delivery will be made only to or in accordance with the instructions of the consignee unless the consignee declines to accept the goods or cannot be communicated with, in which case delivery will be made on instruction of the consignor.

14. (a) the person entitled to delivery must make a complaint to the carrier in writing in the case

(i) of visible damage to the goods, immediately after discovery of the damage and at the latest within 14 days from receipt of the goods,

(ii) of other damage to the goods, within 14 days from the date of receipt of the goods,

(iii) of delay, within 21 days, of the date the goods are placed at his disposal, and

(iv) of non-delivery of the goods, within 120 days from the date of the issue of the Air Waybill;

(b) for the purpose of Subparagraph (a) above complaint in writing may be made to the Carrier whose Air Waybill was used, or to the first Carrier or to the last Carrier or to the Carrier who performed the transportation during which the loss, damage or delay took place;

(c) any rights to damages against Carrier shall be extinguished unless an action is brought within two years after the occurrence of the events giving rise to the claim.

15. The shipper shall comply with all applicable laws, and government regulations

of any country to, from, through or over which the goods may be carried, including those relating to the packing, carriage or delivery of the goods, and shall furnish such information and attach such documents to this Air Waybill as may be necessary to comply with such laws and regulations. Carriers are not liable to the shipper or any other person for the loss or expense due to the shipper's failure to comply with this provision.

16. No agent, servant or representative of Carrier has authority to alter, modify or waive any provisions of this contract.

(2) notwithstanding anything above, Members may include an insurance clause which shall be printed after Condition 16.

(3) notwithstanding anything contained in the applicable effectiveness Resolutions, Members need not put into effect the change to the format of the Air Waybill adopted by the 6th CTPC until the time of next reprinting of their Air Waybill or in no event later than 15 months after declaration of effectiveness of such change.

Effective date, 1 October 1974.¹

APPENDIX B

Resolution 600j

(Agreement C.A.B. 24475, R-5)

MANUAL AIR WAYBILL/CONSIGNMENT NOTE (AWB)

Amending, 106 (CTPC 600, I, 206 (CTPC) 600) I, 306 (CTPC) 600j I. Expiry: Indefinite, Type: B.

RESOLVED, that, (1) the Certification and Signature boxes appearing on the face of the Air Waybill/Consignment Note (AWB) are replaced by the following:

It is agreed that the goods described herein are accepted in apparent good order and condition (except as noted) for carriage subject to the conditions of contract on the reverse hereof. The shipper's attention is drawn to the notice concerning carrier's limitation of liability. Shipper may increase such limitation of liability by declaring a higher value for carriage and paying a supplemental charge if required. Carrier is not liable for the goods until they are received at its town terminal or airport office.

Shipper certifies that the particulars on the face hereof are correct.

Signature of Shipper or his Agent

Signature of Carrier or its Agent

Date Place

Copies 1, 2 and 3 of this Air Waybill are originals and have the same validity.

(2) the above amendment shall not come into effect unless Resolution 600b adopted by the 6th CTPC comes into effect. It shall be implemented in conjunction with the new Conditions of Contract.

Effective date, 1 October 1974.²

CONDITIONS OF CONTRACT

Para. (1)2(a)—states that carriage is subject to the Warsaw Convention unless such carriage is not "international carriage" as defined in Warsaw. The question whether there should be differing rules for Warsaw and non-Warsaw traffic is at issue in Docket 19923, *Liability and Claims Rules and Practices Investigation*, and action on this issue will be deferred pending final decision by the Board in that case.

Para. (1)2(b) (i) (ii), and (iii)—states that carriage and other services are subject to applicable laws, regulations, etc., as well as the provisions of the instant Resolution and

¹ As proposed by IATA.

² As proposed by IATA.

the tariffs, rules, conditions, regulations and time-tables of the carrier to the extent not in conflict with Warsaw. Under this provision, differing rules are established for Warsaw and non-Warsaw traffic. Consistent with our action on paragraph (1)2(a) above, pending final decision by the Board in Docket 19923, action on the issue of discrimination between Warsaw and non-Warsaw traffic will be deferred.

To the extent that tariff rules and regulations may supplement, but not conflict with Warsaw, the provisions of paragraph (1)2(b) (ii) and (iii) preclude additional issues. While the intent of the provisions is not free from doubt, the language of the resolution provides "... carriage hereunder and other services performed by each carrier are subject to ... applicable tariffs ... of such carrier, which are made a part hereof ..." (Emphasis supplied). Many tariffs, including joint tariffs, reflect objectionable provisions contained in the Honolulu resolutions as previously noted. However, such provisions have not been included in the 1974 IATA conditions now before the Board.³ Approval of the instant resolutions would therefore provide approval of local and/or joint provisions contained variously in the tariffs of different carriers, and which are incorporated by reference in the resolutions before us and which could change from time-to-time. There would, of course, be no basis to make the necessary findings as to whether such tariff provisions were adverse to the public interest or in violation of the Act. It appears that local and/or joint tariff rules which are indirectly a part of the agreement should physically be brought within the agreement for prior Board review and approval. The Board tentatively concludes that this provision should be disapproved with respect to its application to provisions not in conflict with Warsaw.

Alternatively, if it is the carriers' intent that their various tariff rules are not to be a part of the IATA conditions of carriage, but nevertheless be a part of the carriers' conditions of carriage, a question still exists as to whether such tariff rules should not be incorporated into the agreement for prior approval, particularly those rules which affect liability and shipper claims. The Board has heretofore approved the concept of concerted carrier action (to establish uniform conditions of carriage) in recognition of the public interest benefits to the traveling and shipping public in not being subjected to a broad spectrum of different rules and conditions, especially where interline transportation is involved. Uniformity of rules is desirable to minimize the confusion and misunderstanding which exists with respect to the rights, privileges, and obligations of shippers on transportation over the lines of several successive carriers. Nevertheless, we have recognized that on an individual basis, carriers may wish to file local or joint tariff rules which amend, modify, or cancel the rules embodied in IATA resolutions. The Board provided in *IATA Traffic Conference Resolutions*, 10 C.A.B. 783 at 792, that in the event any such additional rule is adopted by any carrier and the same rule is adopted by any other carrier or carriers for inclusion

³ An example of such a rule is the tariff provision that charges will be deemed fully earned whether or not the cargo is lost or damaged, or fails to arrive at destination. The Board has previously found that such a provision may be adverse to the public interest and in violation of the Act in that it is a significant abrogation of the general rule of common carriage which makes liability for charges generally dependent on the performance by the carrier of the transportation for which the charge is imposed. (See Board statement on Article 4(7)(b) of the Honolulu resolutions 24 C.A.B. 575 at 588.)

in an IATA joint tariff, such rule must be filed with us under section 412 of the Act, and appropriate action must be taken thereon prior to its submission for filing as a tariff. There are tariff rules presently on file with the Board that have been agreed upon within the IATA procedures participated in by two or more carriers, but which have not been approved. It would seem that the same considerations discussed in 10 C.A.B., *supra*, would apply with equal or greater force where such rules appear in separate local tariffs. Accordingly, comments are requested as to why the Board should not direct the cancellation of, or reject, any such rules that have not been approved nor antitrust immunity provided for pursuant to sections 412 and 414 of the Act.

Para. (1)3—provides that the first carrier's name may be abbreviated, so long as the tariff contains the full name. It would seem that the carrier's full name should be spelled out once on the air waybill, rather than expect a shipper or consignee to seek out a carrier's tariff in order to determine the carrier's full name. Alternatively, as a justifiable exception, and where the carrier's full legal name in a foreign language may be unfamiliar to the average customer, as compared to a more phonetic acronym, the latter would appear to be acceptable if properly defined in that carrier's tariff. The Board tentatively concludes that this provision should be disapproved.

Para. (1)3 also retains existing language that "agreed stopping place" is as set forth in the air waybill or "shown in carrier's time-tables as scheduled stopping places for the route." In 24 C.A.B. 575, 576, the Board expressed its dissatisfaction with use of time-tables to determine agreed stopping places on the ground that Warsaw contemplated such stopping place be shown on the ticket or waybill. However, based on the belief that the problem would arise in relatively few cases (because it would pertain only in those cases where the transportation was between two points in the same country, albeit through an agreed stopping place outside thereof) the Board tentatively found that the 1954 provision there under consideration was not adverse to the public interest. The Board also stated that its action should not be construed as a determination that the provision meets the requirements of Warsaw that the agreed stopping place be contained in the ticket or waybill. Obviously, the significance of "agreed stopping places" depends on the extent to which the Warsaw rules and the rules which apply to non-Warsaw traffic are similar or different. Since this is at issue in Docket 19923, action on the matter will be deferred.

Para. (1)4—provides that unless the carrier's tariff or conditions of carriage otherwise provide, the carrier's liability should not exceed \$20 per kilogram (in the absence of the declaration of and payment for excess valuation) for non-Warsaw traffic.³ The \$20 per kilo accords with the current limit for Warsaw traffic. However, to the extent that this provision excepts those carriers whose tariffs provide for a lesser limit of liability, it would perpetuate the present distinction between Warsaw and non-Warsaw traffic. (See preceding comment on Para. (1)2(a)). It thus raises a question which would be affected by the final decision in Docket 19923, and action on this issue will be deferred.

Para. (1)6—states that in the case of loss, damage or delay of part of the consignment,

the weight to be taken into account shall be only the weight of the package or packages concerned. The Administrative Law Judge recommended that this concept of weight prorate be disapproved in his Initial Decision in Docket 19923. Pending final decision by the Board in Docket 19923, action on this issue will be deferred.

Para. (1)8—provides that a carrier issuing an air waybill for carriage exclusively over the lines of other carriers does so only as an agent for such other carrier. Though this provision is a carry-over from the 1949 resolution, in practice it may work to the detriment of a shipper if the intended origin carrier should reroute at origin, without notice to the shipper, which might invoke the rules of an unknown carrier, or might change the "date of shipment" from which numerous time limits are computed. The Board tentatively concludes that this provision should be disapproved.

Para. (1)9—provides that:

- (1) Carrier undertakes to complete the carriage hereunder with reasonable dispatch;
- (2) Carrier may substitute alternate carriers or aircraft and may without notice and with due regard to the interests of the shipper substitute other means of transportation;
- (3) Carrier is authorized to select the routing or to change or deviate from the routing shown on the face hereof.

Subparagraph (1)9(2) would authorize the use of motor carriers in lieu of line-haul air transportation. These provisions are less restrictive than the parameters of permissible substituted service in the *Substitute Service Case* in Docket 19797, (Order 75-3-37, March 12, 1975), for domestic application. The restrictions found necessary in the domestic case are *prima facie* indicative of what is here required in the public interest. The Board tentatively concludes that this provision should be disapproved.

Subparagraph (1)9(3) is similar to the domestic tariff rule No. 42(A) which the Initial Decision in Docket 19923 found unreasonable in that there was no protection to the shipper where the carrier selects a higher rated routing. Pending final decision by the Board in Docket 19923, action on this issue will be deferred.

Para. (1)10—provides that transportation is provided airport to airport, unless on-forwarding is specifically agreed upon. However, in such on-forwarding, carrier need not provide excess valuation coverage if the on-forward carrier does not provide such coverage. If the on-forwarding is by "carrier", i.e., another airline, then the limits of liability (for Warsaw and non-Warsaw traffic) previously described shall apply. The final sentence states that unless the carrier's tariffs, conditions of carriage and regulations otherwise provide, in the case of on-forwarding not operated by carrier, the carrier is to be relieved of liability for loss, damage, or delay. Further, this paragraph speaks in terms of "forwarding and reforwarding." Thus it is not clear whether it refers to cartage operations performed by the air line or whether such on-forwarding is by another scheduled air line as distinct from forwarding operations by a forwarder, or on-forwarding (by surface mode) by the air line. This ambiguity may serve to relieve the air line of liability for services in connection with or incidental to air transportation, and is consequently objectionable. The Board tentatively concludes that this provision should be disapproved.

Para. (1)11—authorizes, but does not require, the carrier to advance duties, taxes and charges subject to reimbursement from shipper or consignee who accepts delivery. To foster intermodal service, the carrier should be obliged to advance surface carrier charges, or other minor amounts for serv-

ices in connection with air transportation. Moreover, where the carrier elects to extend credit to the consignor or consignee for the advanced charges, the consignee or consignor, respectively, should not be held liable. The Board tentatively concludes that this provision should be disapproved.

Para. (1)12—provides that the shipper guarantees payment of all charges for carriage. Some carriers have used this provision to require a shipper to pay for transportation charges even where the carrier has failed to carry out its contract to deliver the goods safely; or this provision would make the shipper liable for charges incurred in returning the shipment without obtaining the shipper's express order or consent to such return (see also fn. 2, re Article 8(4)(b), 24 C.A.B. 587). Moreover, this provision should not be applicable where the carrier extends credit to the consignee. The Board tentatively concludes that this provision should be disapproved.

Para. (1)13—provides that notice of arrival will be given promptly to consignee, with delivery to be made in accordance with instruction of consignee, unless consignee declines delivery in which case delivery will be made at instruction from consignor. This provision appears to entitle the consignee—and in turn the carrier—to disregard the instructions of the shipper, even in circumstances where such delivery instructions by the consignee would be in derogation of the shipper's rights. The provision is therefore objectionable, and the Board tentatively concludes that it should be disapproved.

Para. (1)14(a)—provides that the consignee must make written complaint as follows:

- (i) Within 14 days for visible damage claims;
- (ii) Within 14 days for other damage claims;
- (iii) Within 21 days for delay claims;
- (iv) Within 120 days for nondelivery claims.

The time limits in (i), (ii), and (iii) above are taken from the Hague Protocol, and are slightly better than corresponding provisions in the Warsaw Convention.⁴ However, they are much less than the time periods cited in 24 C.A.B. 589 where the Board stated:

... the 9-month period provided by section 20(11) of the Interstate Commerce Act would appear more reasonable. Moreover, it appears unreasonable to bar action because of failure to give notice where the carrier had knowledge of the loss and was not prejudiced by the lack of notice.

Para. (1)14 (b) and (c)—provide that claims may be made to the carrier whose air waybill is used,⁵ to the first or last carrier, or to the carrier causing the loss, damage, or delay, and suit must be brought within two years "after the occurrence of the events giving rise to the claim."

As regards the requirement in Para. (1)14 (c) that action be brought "within two years after the occurrence of the events giving rise to the claim," the Board has previously stated that:

Such a limitation is potentially ambiguous because of the difficulties involved in determining the beginning of the 2-year period. (24 C.A.B. 589 on Article 15(3))

Pending final decision by the Board in Docket 19923, action on Para. (1)14 (a), (b), and (c) will be deferred.

³ With respect to the 120-day limit specified in Para. (1)14(a)(iv), there is no provision in either Warsaw or Hague for this limitation on claims for nondelivery.

⁴ See Para. (1)8, *supra*, which appears inconsistent with this provision. In addition, no provision is made for claims for overcharges.

⁵ The Board notes that Para. 1(4), as well as (1)6, (1)10, (1)14(a)(iii), and 14(b) speak to delay, whereas the Initial Notice on the A/W/B cites only loss or damage. The Board suggests that this omission in such Notice be corrected.

Para. (2)—provides that a carrier may include an insurance clause which shall be printed after Para. (1)16 of the A/W/B.

Such individual carrier option to offer or not offer shippers' all-risk insurance² is, first, inconsistent with the standard provision on the face of the IATA air waybill which provides for "Amount of Insurance". Secondly, the Board is not aware of any reason why the actual language of the insurance clause cannot be agreed upon as a proper element of the Conditions of Carriage.³

Lastly, and while the Board is of the view that the full and complete details of any such open policy of a third-party underwriter may not constitute proper tariff material, we see no reason why the standard insurance clause cannot state—and why the carriers could not promptly provide—that any shipper purchasing such insurance would be furnished such open policy upon request at the time of purchase. To this extent, and inasmuch as this furnishing of the policy becomes a service of the carrier, the insurance clause would then constitute proper tariff material.

The Board tentatively concludes that this provision, and a more recent proposed amendment thereto,⁴ should be disapproved.

IATA RESOLUTION 600J, AGREEMENT C.A.B.
24475, R-5

This resolution provides for the wording of a Notice to appear on the face of the air waybill, as distinguished from Resolution No. 600b dealing with conditions of carriage to appear on the back of the air waybill just discussed. The Notice on the front of the air waybill states, *inter alia*:

"Carrier is not liable for the goods until they are received at its town terminal or airport office."

¹ To the extent that carriers may actually not represent an actual underwriter and thus not "offer" such insurance, but nonetheless inadvertently "sell" it because of the presence of the Insurance box on the A/W/B, such carriers are *prima facie* assuming the role of an underwriter. Thus, such insurance in such instances becomes a service of the carrier and warrants treatment as proper tariff material.

² The Board notes that the domestic counterpart of the IATA A/W/B now contains the following standard insurance clause: (8) At the request of the shipper, and if the appropriate premium is paid and the fact recorded on the face hereof, the goods covered by this air waybill are insured on behalf of the shipper under an open policy for the amount requested by the shipper as set out on the face hereof (recovery being limited to the actual loss or damage not exceeding the insured value) against all risks of physical loss or damage from any external cause whatsoever, except those arising directly or indirectly from war risks, strikes, riots, hostilities, legal seizure or delay or inherent vice, and subject to the terms and conditions of such open policy which is available for inspection by the shipper. Claims under such policy must be reported immediately to an office of Carrier. (Source: ATC Resolution 215.70, Page 3, Article (8))

³ Since the filing of the referenced agreements, IATA has filed a further revision to Para. (2) dealing with the insurance clause which may follow Para. (1)16 of the A/W/B. This further revision has been assigned Agreement CAB 25186-R12, and constitutes a recommendation as to the language to be employed for such clause. Said language is virtually identical to the domestic counterpart cited in fn. 6, *supra*.

Such provision would purportedly exculpate a carrier moving a shipment from a shipper's door under the carrier's air waybill pursuant to cartage service provided by the carrier. The Board is of the view that the carrier's liability should extend to cartage service performed by the carrier itself, or its agent, and tentatively concludes that this provision should be disapproved.

[FR Doc.75-32407 Filed 12-1-75; 8:45 am]

[Docket No. 28149; Order No. 75-11-104]

PIEDMONT AVIATION, INC.

Order To Show Cause Regarding Amendment to Certificate of Public Convenience and Necessity

Adopted by the Civil Aeronautics Board at its office in Washington, D.C., on the 26th day of November, 1975.

On August 6, 1975, Piedmont filed a certificate amendment application in Docket 28149 requesting authority to provide seasonal service to Hot Springs, Virginia during the period between the first Sunday in April and the last Sunday in November. On August 12, 1975, Piedmont requested that its application be processed by show cause procedure. Piedmont presently serves Hot Springs on a year-round basis with one turnaround Hot Springs-Charlottesville-Washington YS-11 round trip and a YS-11 round trip between Cincinnati and Washington with stops at other intermediates.¹ No scheduled commuter service is being provided at Hot Springs.

In support of its request for deletion in the off season, Piedmont alleges that: (1) the primary reason for its filing the application is due to the severe operational problems at the Hot Springs airport (Ingalls Field) which has resulted in winter completion factors of under 40%² in the last two years; (2) the number of cancellations makes a reasonably useful service impossible and causes a great deal of confusion and inconvenience for the passengers; (3) Piedmont enplanes less than two passengers per day while providing four scheduled trips per day; (4) for the calendar year 1974, Hot Springs enplaned 4,843 passengers or 13.27 per day, but from December through March (the "winter months") Hot Springs enplaned only 237 passengers or 1.96 passengers per day which compares with 18.88 passengers for the rest of the year; (5) operations create a subsidy need of \$48,000 or \$96.83 per passenger; and (6) there are several other airports which are reasonably accessible to Hot Springs.

No answers to Piedmont's request were received.³

¹ September 1, 1975, Official Airline Guide. One Cincinnati flight originates in Baltimore.

² Includes all revenue cancellations.

³ A letter dated September 11, 1975, was received from the Allegheny-Bath-Clifton Forge-Covington Airport Committee, which has jurisdiction over airline matters in the Hot Springs area, stating that it does not oppose the granting of Piedmont's application.

Upon consideration of the pleadings and all of the relevant facts, we have decided to grant Piedmont's request and issue an order to show cause proposing to amend Piedmont's certificate so as to authorize it to provide seasonal service to Hot Springs, Virginia between the first Sunday in April and the last Sunday in November. We tentatively find and conclude that the public convenience and necessity require the above-described amendment of Piedmont's certificate.

In support of our proposed ultimate finding, we make the following tentative findings and conclusions: Hot Springs historically has developed very little traffic during the winter months of December through March. Based on experience since 1965 these four months have accounted for only 7.8 percent of the yearly traffic.⁴ In the winter months of 1974, Hot Springs enplaned two passengers per day although it received two YS-11 round trips to its principal community of interest—Washington, D.C. For the months December 1974 through March 31, 1975, the load factor on the one turnaround Hot Springs round trip was 5.6 percent on the initial Hot Springs-Charlottesville segment of the flight, a level clearly too low to support operations with turbo-prop YS-11 equipment.

We further tentatively find and conclude that Hot Springs also experiences high off-season subsidy cost. Piedmont estimates that the cost of serving Hot Springs during the winter months of 1974 resulted in a subsidy need of \$48,126 or \$96.83 per passenger. We believe Piedmont's expense estimate is high.⁵ In any case, the operation of winter service represents an excessive expenditure per passenger which we do not believe is justified.

Finally, we tentatively find and conclude that there are alternate air service facilities available which are reasonably accessible to Hot Springs. Air service is available at nearby Lewisburg, Lynchburg, Roanoke, and Staunton located approximately 39, 55, 49, and 42 miles away, respectively.⁶ For the few passengers who would be inconvenienced, limousine service is available at all four airports, air-charter service is available to Hot Springs from Roanoke and Staunton, and Rent-A-Car service is available between Hot Springs and all the named places.⁷

All interested persons will be given 20 days following the adoption of this

⁴ The reason is that Hot Springs is the location of the Homestead Hotel whose business is highly seasonal. From the records of previous cases involving Hot Springs service, we know that the Homestead accounts for 90 to 95 percent of its traffic.

⁵ In computing the expense elements Piedmont has used the block hours committed to serving Hot Springs. We believe that it would be more appropriate to use the actual block hours flown. Use of the latter results in a 1974 subsidy need of \$41.00 per passenger.

⁶ Roanoke is designated as a small hub airport. See Airport Activity Statistics, 12 months ended Dec. 31, 1974.

⁷ See PI. 8.

Order to Show Cause why the tentative findings and conclusions set forth herein should not be made final. We expect such persons to direct their objections, if any, to specific issues and to support such objections with detailed analysis. If an evidentiary hearing is requested, the objector should state the issue with respect to which a hearing is requested and should state in detail why such a hearing is necessary and what relevant and material facts they would expect to establish through such a hearing. Vague, general, or unsupported objections will not be entertained.

Accordingly, it is ordered, that: 1. All interested persons be and they hereby are directed to show cause why the Board should not make final the tentative findings and conclusions herein and why an order should not be issued adding a new condition to Piedmont Aviation, Inc.'s certificate which provides that "The holder shall serve Hot Springs, Virginia only during the period between the first Sunday of April and the last Sunday in November;"

2. Any interested persons having objections to the issuance of an order making final the tentative findings and conclusions herein and transferring the said permit shall, within 20 days after adoption of this order, file with the Board and serve on the persons named in paragraph 5 a statement of objections specifying the part or parts of the tentative findings or conclusions objected to, together with a summary of testimony, statistical data and such evidence expected to be relied upon to support the statement of objections;

3. If timely and properly supported objections hereto are filed, full consideration will be accorded the matters or issues raised therein before further action is taken by the Board: *Provided*, That the Board may proceed to enter an order in accordance with the tentative findings and conclusions herein if it determines that there are no factual issues presented that warrant the holding of an evidentiary hearing;

4. In the event no objections are filed to this order, all further procedural steps will be deemed to have been waived and the Board may proceed to enter an order in accordance with the tentative findings and conclusions herein; * and

5. This order shall be served upon Piedmont Aviation, Inc., the Mayor of Hot Springs, the Governor of Virginia, Allegheny-Bath-Clifton Forge-Covington Airport Committee, and the U.S. Postal Service.

This order shall be published in the *FEDERAL REGISTER*.

By the Civil Aeronautics Board.

[SEAL] EDWIN Z. HOLLAND,
Secretary.

[FR Doc.75-32406 Filed 12-1-75; 8:45 am]

*Since provision is made for the filing of objections to this order, petitions for reconsideration will not be entertained.

CIVIL SERVICE COMMISSION DEPARTMENT OF THE INTERIOR

Notice of Grant of Authority To Make Noncareer Executive Assignment

Under authority of § 9.20 of Civil Service Rule IX (5 CFR 9.20), the Civil Service Commission authorizes the Department of the Interior to fill by noncareer executive assignment in the excepted service the position of Deputy Director, Office of the Director, U.S. Fish and Wildlife Service.

UNITED STATES CIVIL SERVICE COMMISSION,
[SEAL] JAMES C. SPRY,
Executive Assistant to
the Commissioners.

[FR Doc.75-32386 Filed 12-1-75; 8:45 am]

DEPARTMENT OF THE INTERIOR

Notice of Revocation of Authority To Make Noncareer Executive Assignment

Under authority of § 9.20 of Civil Service Rule IX (5 CFR 9.20), the Civil Service Commission revokes the authority of the Department of the Interior to fill by noncareer executive assignment in the excepted service the position of Deputy Commissioner of Reclamation, Office of the Commissioner, Bureau of Reclamation.

UNITED STATES CIVIL SERVICE COMMISSION,
[SEAL] JAMES C. SPRY,
Executive Assistant to
the Commissioners.

[FR Doc.75-32387 Filed 12-1-75; 8:45 am]

FEDERAL EMPLOYEES PAY COUNCIL Meeting

Pursuant to section 10(a)(2) of the Federal Advisory Committee Act, Public Law 92-463, notice is hereby given that the Federal Employees Pay Council will meet at 2:00 p.m. on Wednesday, December 17, 1975. This meeting will be held in room 5323 of the U.S. Civil Service Commission building, 1900 E. Street, N.W., and will consist of continued discussions on future comparability adjustments for the statutory pay systems of the Federal Government, which are defined in section 5301 of title 5, United States Code.

The Chairman of the U.S. Civil Service Commission is responsible for the making of determinations under section 10(d) of the Federal Advisory Committee Act as to whether or not meetings of the Federal Employees Pay Council shall be open to the public. He has determined that this meeting will consist of exchanges of opinions and information which, if written, would fall within exemptions (2) or (5) of 5 U.S.C. 552(b). Therefore, this meeting will not be open to the public.

For the President's Agent.

RICHARD H. HALL,
Advisory Committee Management
Officer for the President's Agent.

[FR Doc.75-32384 Filed 12-1-75; 8:45 am]

COMMITTEE FOR THE IMPLEMENTATION OF TEXTILE AGREEMENTS

REPUBLIC OF CHINA

Certain Cotton Textile Products Produced or Manufactured

NOVEMBER 25, 1975.

On October 21, 1975, there was published in the *FEDERAL REGISTER* (40 FR 49123) a letter dated October 17, 1975 from the Chairman, Committee for the Implementation of Textile Agreements, to the Commissioner of Customs, amending the levels of restraint established for certain cotton and man-made fiber textile products, pursuant to the Bilateral Cotton, Wool and Man-Made Fiber Textile Agreement of May 21, 1975, between the Governments of the United States and the Republic of China, to provide for carryover of shortfalls in those categories from the previous agreement year. The amended level of restraint set forth in the letter of October 17, 1975 for men's, women's, and children's cotton trousers, slacks and outer shorts in Category 51 should have been 544,467 dozen, instead of 510,438 dozen.

Accordingly, there is published below a letter of November 25, 1975, from the Chairman of the Committee for the Implementation of Textile Agreements to the Commissioner of Customs correcting the amended level of restraint for Category 51 for the twelve-month period which began on January 1, 1975.

ALAN POLANSKY,
Chairman, Committee for the
Implementation of Textile
Agreements, and Deputy
Assistant Secretary for
Resources and Trade Assistance,
U.S. Department of
Commerce.

COMMITTEE FOR THE IMPLEMENTATION OF TEXTILE AGREEMENTS

Commissioner of Customs,
Department of the Treasury,
Washington, D.C. 20229

Dear Mr. Commissioner:

This directive amends, but does not cancel, the directive issued to you on October 17, 1975 by the Chairman, Committee for the Implementation of Textile Agreements, concerning imports into the United States of certain cotton and man-made fiber textile products produced or manufactured in the Republic of China.

The second paragraph of the directive of October 17, 1975 is hereby amended to show a level of restraint of 544,467 dozen for Category 51 within the overall level of restraint established for Categories 50/51. The amended level of restraint for Category 51 has not been adjusted to reflect any entries made in this category after January 1, 1975.

The actions taken with respect to the Government of the Republic of China and with respect to imports of cotton textile products from the Republic of China have been determined by the Committee for the Implementation of Textile Agreements to involve foreign affairs functions of the United States. Therefore, the directions to the Commissioner of Customs, being necessary to the implementation of such actions, fall within the for-

sign affairs exception to the rule-making provisions of 5 U.S.C. 553. This letter will be published in the FEDERAL REGISTER.

Sincerely,

ALAN POLANSKY,
Chairman, Committee for the Imple-
mentation of Textile Agreements,
and Deputy Assistant Secretary
for Resources and Trade Assis-
tance, U.S. Department of Com-
merce.

[FR Doc.75-32381 Filed 12-1-75;8:45 am]

CONSUMER PRODUCT SAFETY COMMISSION

ARCHITECTURAL GLASS

Extension of Time for Publishing a Pro- posed Rule or Withdrawing Notice of Processing

The purpose of this notice is to extend by 45 days, until January 12, 1976, the period in which the Consumer Product Safety Commission must publish in the FEDERAL REGISTER a proposed consumer product safety standard for architectural glass or a notice withdrawing the notice of proceeding for development of a standard.

A standard development proceeding for architectural glass was commenced under the CPSC by notice in the FEDERAL REGISTER of May 28, 1974 (39 FR 19502), soliciting offers to develop a recommended consumer product safety standard. The Commission subsequently accepted the offer of the Consumer Safety Glazing Committee, and CSGL submitted a recommended standard to the Commission on January 24, 1974. A more detailed discussion of the history of the architectural glass standard development proceeding appears in the FEDERAL REGISTER of July 23, 1975 (40 FR 30362). In that notice, the Commission also extended the period within which it must propose a standard for architectural glass or withdraw the notice of proceeding until October 29, 1975, in order to allow the staff to make changes in the recommended standard that were considered necessary prior to its proposal in the FEDERAL REGISTER as a mandatory standard. This period was further extended until November 28, 1975 by a notice in the FEDERAL REGISTER (40 FR 51685).

The Commission staff submitted a draft proposed standard to the Commission on October 22, 1975, for its consideration. On November 13, 1975, the Commission, after analyzing the draft standard, instructed the staff to address several questions raised by the draft standard and to incorporate a number of changes into the draft. The Commission staff is in the process of implementing the Commission's instruction and it is estimated that it will take 45 days to complete. Therefore, the Commission is further extending the period within which it must either publish a proposed consumer product safety standard applicable to architectural glass, or withdraw the notice of proceeding for 45 days, or until January 12, 1976. This pe-

riod may be further extended by a notice published in the FEDERAL REGISTER showing good cause.

Dated: November 26, 1975.

SADYE E. DUNN,
Secretary, Consumer Product
Safety Commission.

[FR Doc.75-32430 Filed 12-1-75;8:45 am]

BOOKMATCHES

Extension of the Time for Publishing a Pro- posed Rule or Withdrawing Notice of Proceeding

The purpose of this notice is to extend by 60 days or until January 30, 1976, the period in which the Consumer Product Safety Commission must publish in the FEDERAL REGISTER a proposed consumer product safety standard for bookmatches or withdraw the notice of proceeding for development of a standard.

In the FEDERAL REGISTER of September 4, 1974 (39 FR 32050), the Commission commenced a proceeding under section 7 of the Consumer Product Safety Act (15 U.S.C. 2056) for the development of a consumer product safety standard applicable to bookmatches. On October 24, 1974, the Commission accepted the offer of the American Society for Testing and Materials (ASTM) to develop a recommended standard, and formalized that agreement on December 30, 1974. A notice was published in the January 7, 1975 FEDERAL REGISTER (40 FR 1298) announcing the Commission's acceptance of the ASTM offer. On February 3, 1975, ASTM submitted a recommended standard and supporting data to the Commission.

Section 7(f) of the Consumer Product Safety Act provides that within 210 days after publication in the FEDERAL REGISTER of a notice of proceeding to develop a consumer product safety standard, the Commission must either publish a proposed standard or withdraw the notice of proceeding. The Commission may extend the 210-day period for good cause, by publishing a notice of extension in the FEDERAL REGISTER. In the FEDERAL REGISTER of April 17, 1975 (40 FR 17196), the Commission, for good cause shown, extended the 210-period by 30 days until May 2, 1975. The Commission determined that it needed additional time to properly review the material submitted by the offeror and the analysis of the Commission staff.

In the FEDERAL REGISTER of July 3, 1975 (40 FR 28126) the Commission further extended the 210-day period until October 1, 1975. The Commission found that this additional time was necessary in order to adequately review the more detailed justification that would be submitted by ASTM and to afford the staff an adequate opportunity to address the issue of child-resistant packaging.

In the FEDERAL REGISTER of October 31, 1975 (40 FR 50745) the Commission again extended the 210-day period until December 1, 1975. The Commission found

that this time was necessary to modify and verify test methods for certain of the ASTM recommended provisions. Also, additional time was needed to allow the Commission staff to prepare detailed justification for the child-resistant bookmatch cover requirements. Finally, the extension was necessary in order to integrate the child-resistant bookmatch cover requirements with provisions of the ASTM recommended standard, into a single comprehensive proposed consumer product safety standard for bookmatches.

The Commission has now begun its review of all data relevant to the bookmatch standard. Because of the complex nature of the proposed standard and the large amount of supporting material, the Commission needs additional time to adequately review the proposed bookmatch standard.

Accordingly, the Commission, for good cause shown, hereby extends by 60 days, or until January 30, 1976, the time in which the Commission must either publish a proposed consumer product safety standard applicable to bookmatches or withdraw its notice of proceeding.

Dated: November 26, 1975.

SADYE E. DUNN,
Secretary, Consumer Product
Safety Commission.

[FR Doc.75-32429 Filed 12-1-75;8:45 am]

[Docket Nos. CPSC 75-9, 75-10, 75-11, 75-12,
75-13, 75-14]

HILLERICH AND BRADSBY CO., ET AL.

Aluminum Baseball Bats Enforcement Pro- ceeding Commencement of Consolidated Enforcement Proceeding, Extension of Time for Filing Answers, and Notice of Prehearing Conference

On November 5, 1975, the Commission authorized the issuance of six Notices of Enforcement prepared by the Bureau of Compliance directed to the following persons:

- Docket No. CPSC 75-9—Hillerich & Bradshaw Co. (John A. Hillerich).
- Docket No. CPSC 75-10—Pepco Inc. (Wilson Sporting Goods Co.) (Donald M. Kendall).
- Docket No. CPSC 75-11—Lannon Manufacturing Co. (Charles E. Parish).
- Docket No. CPSC 75-12—Reynolds Metals Co. (Richard S. Reynolds, Jr.).
- Docket No. CPSC 75-13—Aluminum Co. of America (Alcoa), Alcoa Sports Products Co. (John D. Harper).
- Docket No. CPSC 75-14—Eaton Corporation (Paul Miller).

The Notices of Enforcement which are substantially identical in form and content, declared that the Staff is of the opinion that an undetermined number of baseball, softball and little league style aluminum bats, which are manufactured and sold in commerce by Respondents to consumers directly or through distributors and/or retailers, present a substantial product hazard within the meaning of Section 15 of the Consumer Product Safety Act (the Act)

(15 U.S.C. 2064(a)(2)) because the Staff believes that the "Hitters Pride" grip manufactured by Respondent Eaton Corporation can deteriorate with normal use and become disengaged from the handle of the bat, causing the bat to be propelled during a swinging motion and having the potential for striking a person in near proximity to the batter.

The Staff believes that, under Section 15(c) of the Act, notification to the public, in general, and to the purchasers of these aluminum bats, in particular, is required in order to adequately protect the public; that action, pursuant to the provisions of Section 15(d) of said Act is in the public interest; and that Respondents should be ordered to elect to repair, to replace, or to refund the purchase price of the affected aluminum bat models, as provided by the said Section 15(d).

Attached to the Notices of Enforcement were copies of the principal items of written evidence, marked Enforcement Counsel Exhibit A, which the Staff considered to constitute a prima facie case in each docket.

On November 19, Counsel for Aluminum Company of America, et al., (Alcoa) moved for an extension of time until December 22, 1975, to file an answer to the Notice of Enforcement in Docket 75-13 which was due November 26, 1975. On November 20, Counsel for Hillerich and Bradsby, et al., filed a motion to extend its time to answer in Docket 75-9 until 30 and preferably 60 days from the November 26 date.

Enforcement Counsel has informally indicated no objection to the proposed postponements provided that a schedule can be established under which a prehearing conference can be held in the middle of January.

In view of the foregoing, the following actions are taken: (1) Pursuant to § 1025.34 of the Commission's Rules of Practice for Adjudicative Proceedings the above designated dockets which involve similar issues are hereby consolidated for hearing and decision in order to expedite their consideration and minimize expense to the parties and the Government.

(2) The time for all Respondents in the above designated dockets to file Answers to the Notices of Enforcement is hereby extended until December 22, 1975.

(3) A prehearing conference will be held on Tuesday, January 13, 1976, 10:00 a.m. (E.S.T.), in the Commission's 6th floor conference room, 1750 K St. NW., Washington, D.C.

All Counsel are requested to file two copies with this office and serve upon all Counsel by the close of business January 9, 1976, a memorandum setting forth (1) a definition of the issues to be heard, (2) requests for discovery, if any, (3) disclosure of the number of witnesses and the approximate length of time each presentation will entail, and (4) a proposal for the time and place of hearing.

Dated: November 24, 1975.

PAUL N. PFIEFFER,
Administrative Law Judge.

[FR Doc. 75-32431 Filed 12-1-75; 8:45 am]

ENERGY RESEARCH AND DEVELOPMENT ADMINISTRATION

[ERDA-1540]

BROOKHAVEN NATIONAL LABORATORY

Availability of Draft Environmental Statement

Notice is hereby given that a Draft Environmental Statement, "Brookhaven National Laboratory," ERDA-1540, was issued November 28, 1975, pursuant to the Energy Research and Development Administration's (ERDA) regulations for implementation of the National Environmental Policy Act of 1969. The preparation of the statement was announced in the FEDERAL REGISTER on June 12, 1974.

The Brookhaven National Laboratory (BNL) was founded in 1947 by the Atomic Energy Commission (AEC), predecessor of the Energy Research and Development Administration (ERDA), who assumed responsibility for the operation of BNL on January 19, 1975, as a result of the Energy Reorganization Act of 1974. The Laboratory provides facilities such as nuclear reactors, particle accelerators, and specialized research laboratories for conducting joint research with academic institutions basically in the Northeastern sector of the U.S.

The current cumulative impact on the environment of the operation of the various facilities and conduct of research at the site has been assessed in the draft environmental statement, as well as the anticipated future impact of continuing these operations at the BNL site.

Copies of the draft statement are being distributed for review and comment to Federal agencies, New York State and local organizations, and individuals that have expressed an interest in the operation of the BNL facilities. Copies of the draft statement are available for public inspection in the ERDA Public Document Rooms at:

20 Massachusetts Avenue, NW., Washington, D.C.;
Albuquerque Operations Office, Kirtland Air Force Base East, Albuquerque, New Mexico;
Chicago Operations Office, 9800 South Cass Avenue, Argonne, Illinois;
Idaho Operations Office, 550 Second Street, Idaho Falls, Idaho;
Nevada Operations Office, 2753 South Highland Drive, Las Vegas, Nevada;
Oak Ridge Operations Office, Federal Building, Oak Ridge, Tennessee;
Richland Operations Office, Federal Building, Richland, Washington;
San Francisco Operations Office, 1333 Broadway, Oakland, California;
Savannah River Operations Office, Savannah Plant, Aiken, South Carolina.

Comments and views concerning the draft statement are requested from other interested agencies, organizations and individuals. Single copies of the Draft Environmental Statement will be furnished for review and comment upon request addressed to W. H. Pennington, Office of the Assistant Administrator for Environment and Safety, Mail Station E-201, U.S. Energy Research and Development Administration, Washington, D.C. 20545, telephone (301) 973-4241. Comments should be sent to the same address.

In accordance with the guidelines from the Council on Environmental Quality,

agencies and members of the public submitting comments on the Draft Environmental Statement should endeavor to make their comments as specific, substantive, and factual as possible without undue attention to matters of form in the impact statement. It would assist in the review of comments if the comments were organized in a manner consistent with the structure of the draft statement. Emphasis should be placed on the assessment of the environmental impacts of the BNL operations specifically, and the acceptability of those impacts on the quality of the environment, particularly as contrasted with the impacts of reasonable alternatives. Commenting entities may recommend modifications and/or new alternatives that will enhance environmental quality and avoid or minimize adverse environmental impacts.

Copies of comments on the Draft Environmental Statement will be placed in the above referenced Document Rooms for inspection and will be considered in the preparation of the Final Environmental Statement if received at ERDA by January 27, 1976.

Dated at Germantown, Maryland, this 26th day of November 1975.

For the Energy Research and Development Administration.

JAMES L. LIVERMAN,
Assistant Administrator
for Environment and Safety.

[FR Doc. 75-32431 Filed 12-1-75; 8:45 am]

ENVIRONMENTAL PROTECTION AGENCY

[FRL 463-7]

PESTICIDE PRODUCTS CONTAINING HEPTACHLOR/CHLORDANE

Notice of Denial of Applications To Register

On November 26, 1974, the Environmental Protection Agency (EPA) gave notice (39 FR 41293) of its intent to cancel all registered uses of heptachlor and chlordane pursuant to Section 6 of the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), as amended (85 Stat. 973, 7 U.S.C. 136d) with the exception of the uses of heptachlor or chlordane through subsurface ground insertion for termite control and the dipping of roots or tops of nonfood plants. Affected parties have been afforded the opportunity to contest this action by requesting a hearing on specific registered uses.

On this same day, the EPA also issued a regulation (39 FR 41256) pertaining to the registration of pesticide products containing heptachlor or chlordane shipped in interstate commerce. The Agency invoked its authority to bring interstate products containing heptachlor and chlordane under Federal control, pursuant to the provisions of Sections 3 and 25(a) of FIFRA (85 Stat. 979, 997), because 1) a public hearing process for Federally registered products is available through established administrative procedures for those persons affected by the notice of intent to cancel and 2) the Agency believes it is important to provide registrants and users of

similar products containing heptachlor or chlordane, that are manufactured, sold and used intrastate and not presently registered at the Federal level, the same hearing rights as those afforded users and registrants of such Federally registered products. This regulation became effective on November 26, and at that time, all affected persons were instructed to apply for Federal registration. Applications were made not only by those who currently ship such products in intrastate commerce, but by affected persons who sought Federal registration as well. All persons affected by this regulation who made application to the Agency to register products containing heptachlor or chlordane received notices of intent to deny such registration by certified mail. These applicants have been afforded 30 days from the date of receipt of such letters of intent to deny to request a hearing pursuant to Section 6 of FIFRA.

Pesticide Products Intended for Shipment in Intrastate Commerce. Applications for registration were made to the Agency as a result of the November 26 FEDERAL REGISTER notice implementing Section 162.20 of 40 CFR. Notices of intent to deny registration have been mailed applicants based on the notice regarding intrastate products. Applicants were instructed that they could request a hearing within 30 days of receipt of such notice pursuant to section 6 of FIFRA as set forth in the FEDERAL REGISTER notice. Applicants were also advised that if they did request a hearing in accordance with the procedures established, their products could continue to be sold in the state where it has been registered pending completion of the scheduled cancellation proceedings.

Applications made to the Agency were published in the FEDERAL REGISTER in accordance with the provisions of the Agency's interim policy with respect to the administration of Section 3(c) (1) (D), which provides that upon receipt of every application for registration the EPA will publish such notice.

Notices of intent to deny registration have been sent to the following applicants for the listed products:

EPA File Symbol 2342-OEI. Kerr-McGee Chemical Corp., Kerr-McGee Center, Oklahoma City OK 73102. FASCO CHLORDANE BAIT-2.

EPA File Symbol 2342-OEO. Kerr-McGee Chemical Corp., Kerr-McGee Center, Oklahoma City OK 73102. FASCO CHLORDANE BAIT-375.

EPA File Symbol 9859-AO. Landia Chemical Co., 1801 W. Olive St., Lakeland FL 33801. CHLORDANE-TOXAPHENE BAIT 2-3.

Pesticide Products Intended for Shipment in Interstate Commerce. Notices of intent to deny registration have also been mailed in response to applications for registration made to the Agency for products containing heptachlor or chlordane intended for sale in interstate commerce. Such notices were based on the November 26 FEDERAL REGISTER notice of intent to cancel. Applicants were advised that pursuant to Section 3(c) (6) they had 30 days from receipt of the

notice of intent to deny to make any changes necessary to meet the Agency's requirements for registration. The only change possible to comply with current requirements is to restrict such products to use as subsurface ground applications for termite control or for dipping of roots or tops of nonfood plants as set forth in the FEDERAL REGISTER notice of intent to cancel. Applicants have also been advised that if this change is possible and desired they may submit a revised application. Otherwise, such applications to register are denied. Products not registered with the Agency cannot be legally sold. Applicants were also told that remedies for denial are available through the administrative procedures set forth in Section 6(b) of FIFRA.

Applications made to the Agency were published in the FEDERAL REGISTER in accordance with the provisions of the Agency's interim policy with respect to the administration of Section 3 (c) (1) (D).

Notices of intent to deny registration have been sent to the following applicants for the listed products.

EPA File Symbol 4876-LE. AG Supply Co., Industrial Drive, Hopkinsville KY 42240. CHLORDANE-4 EMULSIFIABLE CONCENTRATE.

Conclusion. Any person adversely affected by this notice may, within 30 days after publication in the FEDERAL REGISTER, request a hearing with the Hearing Clerk, Environmental Protection Agency, 401 M Street, SW, East Tower, Room 1019, Washington DC 20460. Any questions concerning this notice should be directed to Product Manager 15, Registration Division, Environmental Protection Agency, 401 M Street, SW, Washington DC 20460.

Notices of the Agency's denial of these applications for registration is given pursuant to the provisions of section 3(c) (6) of FIFRA. Identical notices which contained lists of other affected applications to register products containing heptachlor/chlordane were published in the FEDERAL REGISTER on May 23, 1975 (40 FR 22587), and July 28, 1975 (40 FR 31655).

Dated: November 25, 1975.

EDWIN L. JOHNSON,
Deputy Assistant Administrator
for Pesticide Programs.

[FR Doc.75-32327 Filed 12-1-75; 8:45 am]

[FRL 464-1]

O,S-DIMETHYL PHOSPHORAMIDOTHIOATE Establishment of a Temporary Tolerance

Ortho Division, Chevron Chemical Co., 940 Hensley St., Richmond CA 94804, submitted a pesticide petition (PP 5G1624) to the Environmental Protection Agency (EPA). This petition requested that a temporary tolerance be established for residues of the insecticide O,S-dimethyl phosphoramidothioate in or on the raw agricultural commodity almonds at 1 part per million.

This temporary tolerance will permit the marketing of almonds when treated in accordance with a temporary permit

which is being issued concurrently under the Federal Insecticide, Fungicide, and Rodenticide Act.

An evaluation of the scientific data reported has shown that the tolerance is adequate to cover residues resulting from the proposed experimental use, and it has been determined that such tolerance will protect the public health. The temporary tolerance is established, therefore, for the insecticide with the following provisions:

1. The total amount of the active ingredient to be used must not exceed the quantity authorized by the temporary permit.

2. Chevron Chemical Co. must immediately notify the EPA of any findings from the experimental use that have a bearing on safety. The company must also keep records of production, distribution, and performance and on request make the records available to any authorized officer or employee of the EPA or Food and Drug Administration.

3. Almond hulls from almonds treated under this experimental program must not be used for feed purposes.

This temporary tolerance expires November 24, 1976. Residues not in excess of this temporary tolerance remaining in or on the above raw agricultural commodity after expiration of this tolerance will not be considered actionable if the insecticide is legally applied during the term and in accordance with the provisions of the temporary permit and temporary tolerance. This temporary tolerance may be revoked if the temporary permit is revoked or if any scientific data or experience with the insecticide indicate that such revocation is necessary to protect the public health.

Dated: November 24, 1975.

MARTIN H. ROGOFF,
Acting Director,
Registration Division.

[FR Doc.75-32329 Filed 12-1-75; 8:45 am]

[FRL 464-2]

FOOD ADDITIVE PETITION Notice of Filing

The Union Carbide Corp., 1730 Pennsylvania Ave. NW., Washington D.C. 20006, has submitted a food additive petition (FAP 6H5108) to the Environmental Protection Agency which proposes to amend 21 CFR 561 by establishing a feed additive regulation permitting the use of the insecticide/nematocide [(2-methyl-2-methylthio)propionaldehyde-0-(methylcarbamoyl)] oxime in a proposed experimental program involving application of the pesticide to growing oranges with a tolerance limitation of 0.6 part per million for residues of the insecticide/nematocide and its cholinesterase-inhibiting metabolites aldicarb sulfoxide and aldicarb sulfone in dried citrus pulp.

Notice of this submission is given pursuant to Section 409(b) (5) of the Federal Food, Drug, and Cosmetic Act. Interested persons are invited to submit written comments on the petition referred to in this notice to the Federal Register Section, Technical Services Di-

vision (WH-569), Office of Pesticide Programs, Environmental Protection Agency, Room 401, East Tower, 401 M St. SW, Washington D.C. 20460. Three copies of the comments should be submitted to facilitate the work of the Agency and others interested in inspecting them. The comments should be submitted as soon as possible and should bear a notation indicating the petition number "FAP 6H5108". Comments may be made at any time while a petition is pending before the Agency. All written comments will be available for public inspection in the office of the Federal Register Section from 8:30 a.m. to 4:00 p.m. Monday through Friday.

Dated: November 24, 1975.

MARTIN H. ROCOFF,
Acting Director,
Registration Division.

[FR Doc. 75-32330 Filed 12-1-75; 8:45 am]

[OPP-33000/342; FRL 461-8]

RECEIPT OF APPLICATIONS FOR PESTICIDE REGISTRATION

Data To Be Considered in Support of Applications

On November 19, 1973, the Environmental Protection Agency (EPA) published in the FEDERAL REGISTER (38 FR 31862) its interim policy with respect to the administration of Section 3(c)(1)(D) of the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), as amended. This policy provides that EPA will, upon receipt of every application for registration, publish in the FEDERAL REGISTER a notice containing the information shown below. The labeling furnished by the applicant will be available for examination at the Environmental Protection Agency, Room EB-31, East Tower, 401 M Street, SW, Washington DC 20460.

On or before February 2, 1976, any person who (a) is or has been an applicant, (b) believes that data he developed and submitted to EPA on or after October 21, 1972, is being used to support an application described in this notice, (c) desires to assert a claim for compensation under Section 3(c)(1)(D) for such use of his data, and (d) wishes to preserve his right to have the Administrator determine the amount of reasonable compensation to which he is entitled for such use of the data, must notify the Administrator and the applicant named in the notice in the FEDERAL REGISTER of his claim by certified mail. Notification to the Administrator should be addressed to the Information Coordination Section, Technical Services Division (WH-569), Office of Pesticide Programs, 401 M Street, SW, Washington DC 20460. Every such claimant must include, at a minimum, the information listed in the interim policy of November 19, 1973.

Applications submitted under 2(a) or 2(b) of the interim policy will be processed to completion in accordance with existing procedures. Applications submitted under 2(c) of the interim policy cannot be made final until the 60 day

period has expired. If no claims are received within the 60 day period, the 2(c) application will be processed according to normal procedure. However, if claims are received within the 60 day period, the applicants against whom the claims are asserted will be advised of the alternatives available under the Act. No claims will be accepted for possible EPA adjudication which are received February 2, 1976.

Dated: November 20, 1975.

MARTIN H. ROCOFF,
Director,
Registration Division.

APPLICATIONS RECEIVED (OPP-33000/342)

EPA File Symbol 25889-R. Ace Chemical Products, 4233 Second St. NE, Minneapolis MN 55421. ALGAETROL W. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene - (dimethyliminio)ethylene dichloride] 15.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 8859-T. Aqualand Pool Co., Inc., Dakota at West Lake St., Minneapolis MN 55416. AQUALAND ALGAE CONTROL. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene dichloride] 10.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 4313-AN. Carroll Company, 2900 W. Kingsley Rd., Garland TX 75041. NONFOAMING SWIMMING POOL ALGAE-CIDE. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene - (dimethyliminio)ethylene dichloride] 15.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 2626-EA. Chemical Research Products, 1034 W. 45th St., Norfolk VA 23508. SANALON CLEANER/SANITIZER. Active Ingredients: Butoxy polypropoxy polyethoxy ethanol-iodine complex 12.47%; Polyethoxy polypropoxy polyethoxy ethanol-iodine complex 0.37%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 2626-EL. Chemical Research Products. IODOX SANITIZER. Active Ingredients: Butoxy polypropoxy polyethoxy ethanol-iodine complex 12.47%; Polyethoxy polypropoxy polyethoxy ethanol-iodine complex 0.37%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 2626-ET. Chemical Research Products. SANPHOR DETERGENT-DISINFECTANT. Active Ingredients: alpha-(p-Nonylphenyl)-omega-hydroxypoly(oxyethylene)-iodine complex 19.05%; Phosphoric Acid 16.00%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 2846-R. John Danals Co., Inc., 229 Shasta St., Manchester NH 03103. DANA CLOR. Active Ingredients: Sodium Hypochlorite 10.5%. Method of Support: Application proceeds under 2(c) of interim policy. PM34

EPA File Symbol 21578-R. Dixie Poultry & Livestock, Inc., PO Box 739, Canton GA 30114. DIXIE 7.76 ORAL LARVICIDE PREMIX. Active Ingredients: 2-chloro-1-(2,4,5-trichlorophenyl) vinyl dimethyl phosphate 7.76%. Method of Support: Application proceeds under 2(b) of interim policy. PM15

EPA File Symbol 37645-R. FarBest Corp., 6715 McKinley Ave., Los Angeles CA 90001. ALGI-LIK. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene - (dimethyliminio)ethylene dichloride] 20.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 912-IE. Farmers Union Central Exchange Inc., PO Box G, St. Paul MN 55165. CENEX MILK BOOSTER-FLY MINERAL. Active Ingredients: 2-chloro-1-(2,4,5-trichlorophenyl) vinyl dimethyl phosphate 1.19%. Method of Support: Application proceeds under 2(b) of interim policy. PM15

EPA File Symbol 912-IG. Farmer Union Central Exchange Inc. CENEX ADE. Active Ingredients: 2-chloro-1-(2,4,5-trichlorophenyl) vinyl dimethyl phosphate 4.78%. Method of Support: Application proceeds under 2(b) of interim policy. PM15

EPA File Symbol 912-IR. Farmers Union Central Exchange Inc. CENEX. Active Ingredients: 2-chloro-1-(2,4,5-trichlorophenyl) vinyl dimethyl phosphate 1.19%. Method of Support: Application proceeds under 2(b) of interim policy. PM15

EPA File Symbol 912-IU. Farmers Union Central Exchange Inc. CENEX FLYGO. Active Ingredients: 2-chloro-1-(2,4,5-trichlorophenyl) vinyl dimethyl phosphate 7.76%. Method of Support: Application proceeds under 2(b) of interim policy. PM15

EPA File Symbol 37774-R. Feed Specialties Co., 1877 NE 58th Ave., Des Moines IA 50313. R.O.L. PREMIX. Active Ingredients: 2-chloro-1-(2,4,5-trichlorophenyl) vinyl dimethyl phosphate 7.76%. Method of Support: Application proceeds under 2(b) of interim policy. PM15

EPA File Symbol 1529-EG. GAF Corp., 140 W. 51st St., New York NY 10020. BIOPEL NR-II. Active Ingredients: alpha-(p-Nonylphenyl) - omega - hydroxypoly(oxyethylene)-iodine complex 23.75%; Phosphoric Acid 6.00%. Method of Support: Application proceeds under 2(a) of interim policy. PM34

EPA File Symbol 1529-LU. GAF Corp., 140 W. 51st St., New York NY 10020. BIOPEL NR-I. Active Ingredients: alpha-(p-Nonylphenyl) - omega-hydroxypoly(oxyethylene)-iodine complex 23.75%; Phosphoric Acid 6.00%. Method of Support: Application proceeds under 2(a) of interim policy. PM34

EPA File Symbol 37983-E. A. L. Gilbert Co., 304 Yosemite Ave., Oakdale CA 95361. GILBERT'S DAIRY SUPPLEMENT. Active Ingredients: 2-chloro-1-(2,4,5-trichlorophenyl) vinyl dimethyl phosphate 0.18%. Method of Support: Application proceeds under 2(b) of interim policy. PM15

EPA File Symbol 37983-G. A. L. Gilbert Co. GILBERT'S BEEF SUPPLEMENT. Active Ingredients: 2-chloro-1-(2,4,5-trichlorophenyl) vinyl dimethyl phosphate 0.18%. Method of Support: Application proceeds under 2(b) of interim policy. PM15

EPA File Symbol 37983-R. A. L. Gilbert Co. GILBERT'S RABON/R/ 7.76 ORAL LARVICIDE PREMIX. Active Ingredients: 2-chloro-1-(2,4,5-trichlorophenyl) vinyl dimethyl phosphate 7.76%. Method of Support: Application proceeds under 2(b) of interim policy. PM15

EPA File Symbol 37983-U. A. L. Gilbert Co. GILBERT'S BEEF CONCENTRATE. Active Ingredients: 2-chloro-1-(2,4,5-trichlorophenyl) vinyl dimethyl phosphate 0.39%. Method of Support: Application proceeds under 2(b) of interim policy. PM15

EPA File Symbol 16377-E. Gloss-Ail Products Co., 2317 Farmer St., Middleton WI 53562. WIPE-OUT. Active Ingredients: n-Alkyl (60% C14, 30% C16, 5% C12, 5% C18) dimethyl benzyl ammonium chlorides 2.25%; n-Alkyl (68% C12, 32% C14) dimethyl ethylbenzyl ammonium chlorides 2.25%; Sodium Carbonate 3.00%; Tetrasodium ethylenediamine tetraacetate 1.00%. Method of Support: Application proceeds under 2(b) of interim policy. PM31

EPA File Symbol 16377-G. Gloss-All Products Co. SUPER STER-ALL. Active Ingredients: n-Alkyl (60% C14, 30% C16, 5% C12, 5% C18) dimethyl benzyl ammonium chlorides 6.25%; n-Alkyl (68% C12, 32% C14) dimethyl ethylbenzyl ammonium chlorides 6.25%; Tetrasodium ethylenediamine tetraacetate 3.60%; Sodium Carbonate 3.00%. Method of Support: Application proceeds under 2(b) of interim policy. PM31

EPA File Symbol 16377-R. Gloss-All Products Co. STER-ALL. Active Ingredients: n-Alkyl (60% C14, 30% C16, 5% C12, 5% C18) dimethyl benzyl ammonium chlorides 4.5%; n-Alkyl (68% C12, 32% C14) dimethyl ethylbenzyl ammonium chlorides 4.5%; Tetrasodium ethylenediamine tetraacetate 2.0%; Sodium Carbonate 4.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM31

EPA File Symbol 37784-E. Ray W. Hawksley Co., Inc. 220 Cutting Blvd., Richmond CA 94804. BIOCIDES SERIES 301. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)ethylene dichloride] 6.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 37785-G. Ray W. Hawksley Co., Inc. BIOCIDES SERIES 302. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)ethylene dichloride] 12.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 37785-L. Ray W. Hawksley Co., Inc. BIOCIDES SERIES 304. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)ethylene dichloride] 30.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 37785-U. Ray W. Hawksley Co., Inc. BIOCIDES SERIES 303. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)ethylene dichloride] 20.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 37699-R. Lavergne Supplement Co., 1038 Space Park South, Nashville TN 37211. CHALLENGER-3 PREMIX. Active Ingredients: 2-chloro-1-(2,4,5-trichlorophenyl) vinyl dimethyl phosphate 7.76%. Method of Support: Application proceeds under 2(b) of interim policy. PM15

EPA File Symbol 37754-E. Lubchem, Inc. PO Box 38449, Houston TX 77008. LUBICIDE-IC. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)ethylene dichloride] 20.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 37754-G. Lubchem, Inc. LUBICIDE-ID. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)ethylene dichloride] 10.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 37754-L. Lubchem, Inc. LUBICIDE-IDP. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)ethylene dichloride] 10.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 37754-R. Lubchem, Inc. LUBICIDE-IB. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)ethylene dichloride] 30.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 37754-U. Lubchem, Inc. LUBICIDE-IA. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)ethylene dichloride] 60.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 12353-A. Omega Chemical Co., Inc., 6935 W. 62nd St., Chicago IL 60638. SAN 206-I. Active Ingredients: Butoxy polypropoxy polyethoxy ethanol-iodine complex 12.47%; Polyethoxy polypropoxy polyethoxy ethanol-iodine complex 0.37%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 12353-T. Omega Chemical Co., Inc., 6935 W. 62nd St., Chicago IL 60638. SAN 207-I. Active Ingredients: Butoxy polypropoxy polyethoxy ethanol-iodine complex 12.47%; Polyethoxy polypropoxy polyethoxy ethanol-iodine complex 0.37%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 7762-RE. Leslie Salt Co., PO Box 882, Union City CA 94587. LESLIE FLY CONTROL "R" PREMIX. Active Ingredients: 2-chloro-1-(2,4,5-trichlorophenyl)vinyl 7.76%. Method of Support: Application proceeds under 2(b) of interim policy. PM15

EPA File Symbol 37879-E. San Joaquin Chemicals, Inc., 4684 E. Hedges Ave., Fresno CO 93703. SANACIDE 2013. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)ethylene dichloride] 30.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 37879-R. San Joaquin Chemicals, Inc., 4684 E. Hedges Ave., Fresno CA 93703. SANACIDE 2013. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)ethylene dichloride] 15.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 8450-RR. A. E. Staley Mfg., Co., 2200 E. Eldorado St., Decatur IL 62525. SWEETLIX RABON. Active Ingredients: 2-chloro-1-(2,4,5-trichlorophenyl) vinyl dimethyl phosphate 0.463%. Method of Support: Application proceeds under 2(b) of interim policy. PM15

EPA File Symbol 10293-EG. Venus Laboratories, 1025 Industrial Drive, Bensenville IL 60101. HONEYSUCKLE GLYCOL AIR SANITIZER. Active Ingredients: Bardac-22 0.20%; Propylene Glycol 15.0%; Isopropyl Alcohol 25.0%. Method of Support: Application proceeds under 2(c) of interim policy. PM33

EPA File Symbol 37644-E. Wasco Products Inc., 831 S. State College Blvd., Anaheim CA 92806. JIFFY FORMULA 100 WATER BED CONDITIONER. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)ethylene dichloride] 35%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 27644-R. Wasco Products Inc., 831 S. State College Blvd., Anaheim CA 92806. JIFFY FORMULA PLUS WATER BED CONDITIONER. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)ethylene dichloride] 40%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 37753-R. Waters Chemicals, 729 Beach Place, Mundelein IL 60060. CW-211. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)ethylene dichloride] 15.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 52-EUT. West Chemical Products, Inc., 42-16 West St., Long Island City NY 11101. WEST "TAMED IODINE" PREMISE DISINFECTANT. Active Ingredients: alpha-(p-nonyl-phenyl)-omega-hydroxypoly(oxyethylene)-iodine complex 18.05%; Phosphoric acid 16.00%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 37752-E. Willard, Inc., 375 Highland Ave., Jenkintown PA 19046. WILCHEM BIOCIDES-W. Active Ingredients: Poly[oxyethylene(dimethyliminio)ethylene(dimethyliminio)-ethylene dichloride] 15.0%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 35987-E. Zodiac Chemical Co., Inc., 452A River Drive, Garfield NJ 07026. IDO-CLEAN. Active Ingredients: Butoxy polypropoxy polyethoxy ethanol-iodine complex 12.47%; Polyethoxy polypropoxy polyethoxy ethanol-iodine complex 0.37%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

EPA File Symbol 35987-R. Zodiac Chemical Co., Inc., 452A River Drive, Garfield NJ 07026. IDO-SAN. Active Ingredients: Butoxy polypropoxy polyethoxy ethanol-iodine complex 12.47%; Polyethoxy polypropoxy polyethoxy ethanol-iodine complex 0.37%. Method of Support: Application proceeds under 2(b) of interim policy. PM34

[FR Doc.75-32050 Filed 12-1-75;8:45 am]

FEDERAL COMMUNICATIONS COMMISSION

JOINT INDUSTRY/GOVERNMENT COMMITTEE, WORKING GROUP F, ON BROADCASTING SATELLITES

Meeting Regarding Preparation for the 1977 WARC

NOVEMBER 24, 1975.

Pursuant to Pub. L. 92-463 notice is hereby given of the meeting of Working Group F, procedures in preparation of proposed United States position papers for the 1977 World Administrative Radio Conference (WARC-77). The meeting will be held on December 17, 1975, at 9:30 a.m. in room 7008, 2025 "M" St., N.W., Washington, D.C., and chaired by Don Weiland.

The Agenda is as follows:

1. Approval of Agenda.
2. Approval of Minutes of last meeting.
3. Report of Task Force Chairmen.
4. Any further business.
5. Adjournment.

The meeting will be opened to the public and any member of the public is invited to participate and present oral or written statements of relevance to the agenda upon recognition by the Chairman.

FEDERAL COMMUNICATIONS COMMISSION.

[SEAL] VINCENT J. MULLINS,
Secretary.

[FR Doc.75-32390 Filed 12-1-75;8:45 am]

RADIO TECHNICAL COMMISSION FOR MARINE SERVICES

Meetings

In accordance with Pub. L. 92-463, "Federal Advisory Committee Act," the schedule of future Radio Technical Commission for Marine Services (RTCM) meetings is as follows:

Members of Special Committee No. 65 "SHIP RADAR".

Notice of 42nd Meeting.
Wednesday, December 17, 1975—1:30 p.m.
Conference Room 8210, 2025 M Street, N.W., Washington, D.C.

Formal Meeting Schedule for SC-65 Working Groups.

To be held at 2025 M Street, N.W., Washington, D.C.

Working Group: Collision Avoidance

Room: 8210

Date: December 17

Time: 9:30 a.m.

If other Working Group meetings are scheduled, Group Members will be notified.

AGENDA

1. Call to Order; Chairman's Report; Adoption of Agenda.
2. Acceptance of SC-65 Summary Records; Appointment of Rapporteur.
3. Progress Reports of Working Group on:
 - a. Collision Avoidance Systems.
4. Status Reports on Other Working Groups.
5. Other business.
6. Establishment of next meeting date.

Irvin Hurwitz, Chairman, SC-65, Federal Communications Commission, Washington, D.C. 20554. Phone: (202) 632-7197. Special Committee No. 66 "Receiver Standards for the Maritime Mobile Service". Notice of 35th Meeting.

Wednesday, December 17, 1975—9:30 a.m. (All-day meetings.)

Conference Room A-305, 1229-20th Street, N.W., Washington, D.C.

AGENDA

1. Call to Order; Chairman's Report.
2. Adoption of Agenda; Appointment of Rapporteur.
3. Acceptance of SC-66 Summary Record.
4. Begin preparation of General Purpose Marine Communications Receiver Standard. (Note: November meeting was cancelled.)
5. Discussion of problem areas.
6. Solicitation of Work Assignments.
7. Other business.
8. Establishment of next meeting date.

H. R. Smith, Chairman, SC-66, ITT Mackay Marine, 441 US Highway #1, Elizabeth, N.J. 07202. Phone: (201) 527-0300. Special Committee No. 68, "Marine Radio-telephone Operator Education". Notice of 10th Meeting.

Wednesday, December 17, 1975—9:30 a.m.

Conference Room 752, 1919 M Street, N.W., Washington, D.C.

AGENDA

1. Call to Order; Chairman's Report.
2. Adoption of Agenda; confirmation of Secretary.
3. Acceptance of SC-68 Summary Records.
4. Approval of MHT Handbook Work Assignment. Limited Coast Station section and appendices.
5. Establishment of next meeting date.

A. Newell Garden, Chairman, SC-68, Raytheon Company, 141 Spring Street, Lexington, Mass. 02173. Phone: (617) 862-6600 (Ext. 414).

Executive Committee Meeting, Thursday, December 18, 1975.

The next Executive Committee Meeting will be on Thursday, December 18, 1975, at 1:45 p.m. in Conference Room 752, 1919 M Street, N.W., Washington, D.C.

AGENDA

1. Call to Order; Chairman's Report.
2. Introduction of Attendees; Adoption of Agenda.
3. Administrative Action Items.
4. Acceptance of the Minutes of Executive Committee Meetings.
5. Progress Reports on Currently Active Committees.

6. Status Reports on Other Committees.
7. Approval of SC-66 Report. Minimum Standards for Single Sideband Receivers in the Maritime Mobile Service.
8. Approval of SC-64 Report, MF, HF, and VHF Maritime Radioteletypewriter and Data Systems and Operations.
9. Summary Reports and Announcements.
10. New Business.
11. Establishment of next meeting date.

To comply with the advance notice requirements of Pub. L. 92-463, a comparatively long interval of time occurs between publication of this notice and the actual meeting. Consequently, there is no absolute certainty that the listed meeting room will be available on the day of the meeting. Those planning to attend the meeting should report to the room listed in the notice. If a room substitution has been made, the new meeting room location will be posted at the room listed in this notice.

Agendas, working papers, and other appropriate documentation for the meeting is available at that meeting. Those desiring more specific information may contact either the designated Chairman or the RTCM Secretariat. (Phone (202) 632-6490.)

The RTCM has acted as a coordinator for maritime telecommunications since its establishment in 1947. Problems are studied by Special Committees and the final report is approved by the RTCM Executive Committee. All RTCM meetings are open to the public. Written statements are preferred but by previous arrangement, oral presentations will be permitted within time and space limitations.

FEDERAL COMMUNICATIONS COMMISSION

[SEAL] VINCENT J. MULLINS,
Secretary.

[FR Doc.75-32394 Filed 12-1-75; 8:45 am]

[Docket No. 20649; RM-2531]

CERTAIN FOREIGN STATIONS

Order Extending Time for Filing Comments and Reply Comments

In the matter of applicability of Section 325(b) of the Communications Act to noninterconnected distribution of television programming to certain foreign stations.

1. On October 16, 1975, the Commission adopted a Notice of Inquiry in the above-entitled proceeding. Publication was given in the FEDERAL REGISTER on October 29, 1975, 40 FR 50309. The dates for filing comments and reply comments are presently November 28 and December 8, 1975, respectively.

2. On November 13, 1975, counsel for Garryowen Corporation ("Garryowen"), licensee of television Stations KTVO, Billings, Montana; KXLF, Butte, Montana; and KRTV, Great Falls, Montana, requested that the time for filing comments be extended for an additional 30 days. On November 17, 1975, counsel for Columbia Pictures Industries, Inc., MCA, Inc., Paramount Pictures Corporation, Twentieth Century-Fox Film Corporation, United Artists Corporation, and

Warner Bros. Inc. ("Program Suppliers") requested an additional 90 days. Garryowen states that the requested extension is necessary in order to provide the Commission with detailed data pertaining to the actual and quantifiable reduction in U.S. viewing audiences, revenues and profits lost as a result of the pre-release practice. Program Suppliers states that the Commission in its Notice encouraged interested parties to comment on all aspects of the inquiry and listed under "Program Producers and Suppliers" eight areas of inquiry for these parties to address. It notes that a full response will require the accumulation of detailed data, preparation of a statistical analysis and preparation of predictions as to the impact of restrictive regulation based on alternative assumptions. Program Suppliers also adds that it will be necessary for each of the producers to elicit substantial data from their Canadian offices, that data will then have to be collated with the data obtained by other producers, together with an overall analysis based on all such data.

3. We are of the view that the public interest would be served by extending the time in this proceeding. Accordingly, *it is ordered*, That the requests for extension of time in Docket No. 20649 filed by Garryowen Corporation and Columbia Pictures Industries, Inc., MCA, Inc., Paramount Pictures Corporation, Twentieth Century-Fox Film Corporation, United Artists Corporation, and Warner Bros. Inc., are granted, by extending the time for filing comments and reply comments to and including February 27, 1976, and March 16, 1976, respectively.

4. This action is taken pursuant to authority found in sections 4(d), 5(d)(1) and 303(r) of the Communications Act of 1934, as amended, and § 0.281 of the Commission's Rules.

Adopted: November 21, 1975.

Released November 21, 1975.

FEDERAL COMMUNICATIONS COMMISSION

[SEAL] PAUL WM. PUTNEY,
Acting Chief, Broadcast Bureau.

[FR Doc.75-32392 Filed 12-1-75; 8:45 am]

FEDERAL ENERGY ADMINISTRATION

CONFERENCE TO DISCUSS POWER PLANT PRODUCTIVITY

Meeting

Notice is hereby given that a "Conference to Discuss Power Plant Productivity," will be held from 8:30 a.m., to 6:00 p.m., January 6, 1976, in the 5th floor conference room of the MONY Building, 1655 Peachtree Street, Atlanta, Georgia.

The purpose of the conference is to provide for an exchange of information and ideas among owner/operators of nuclear and large fossil-fired electric power generating units aimed at improving the productivity of these units.

Invitees to the conference will be from electric utilities located in FEA Region

IV, i.e., Kentucky, Tennessee, Florida, North Carolina, Oklahoma, South Carolina, Georgia, Alabama, Mississippi and the Canal Zone that own/operate or have under construction or in planning nuclear and 390 megawatts and larger oil or coal-fired generating units.

The agenda for the meeting is as follows:

- 8:30 to 8:45 a.m. FEA introductory remarks.
 8:45 to 9:15 a.m. FEA status report on actions to implement Recommendations contained in report on improving the productivity of electric power plants.
 9:15 to 12 m. Utility statements.
 12 m. to 1:30 p.m. Lunch break.
 1:30 to 4:30 p.m. Utility statements.
 4:30 to 5:30 p.m. Statements by others.
 5:30 to 6 p.m. Summary by FEA and questions/answers.
 6 p.m. Adjourn.

The meeting is open to the public. The meeting chairman is empowered to conduct the meeting in a fashion that will, in his judgment, facilitate the orderly conduct of business. Any member of the public who wishes to file a written statement with the conference chairman will be permitted to do so either before or after the meeting. Members of the public who wish to make oral statements should inform Bob Nelson (202) 961-6193, at least five days before the meeting and reasonable provisions will be made for their appearance on the agenda. Further information concerning this meeting may be obtained from Mr. Nelson.

Minutes of the meeting will be made available for public inspection at the Federal Energy Administration, Washington, DC, and Atlanta, Georgia.

Issued at Washington, D.C. on November 26, 1975.

MICHAEL F. BUTLER,
General Counsel.

[FR Doc.75-32444 Filed 11-26-75; 4:59 pm]

CONSUMER AFFAIRS/SPECIAL IMPACT ADVISORY COMMITTEE

Meeting

Pursuant to the provisions of the Federal Advisory Committee Act (Public Law 92-463, 86 Stat. 770), notice is hereby given that the Consumer Affairs/Special Impact Advisory Committee will meet Thursday, December 18, 1975, at 9 a.m., Room 5041B, 12th & Pennsylvania Avenue, NW., Washington, D.C.

The Committee was established to provide the Federal Energy Administration with diversified information possessed by a wide range of highly qualified individuals who have been extensively involved in planning, development, and implementation of programs to remedy the problems of the consumer, the poor, the elderly, and the handicapped persons in rural and urban America.

The agenda for the meeting is as follows:

1. Old Business—Procedural Issues.
2. New Business—Reports from Subcommittees.

Social Relief Programs—Impact of Rising Energy Prices on the Physically Disabled.
 Utility Issues—Power Plant Expansion/The UGAN Program.
 Pricing—Natural Gas Curtailments—1975-76 Heating Season.
 Economics of Nuclear vs. Solar Energy.
 Consumer Participation Issues—FEA Consumer Representation Plan.
 Impact of Energy Policy on the Cities—Energy Conservation.

The meeting is open to the public. The Chairman of the Committee is empowered to conduct the meeting in a fashion that will in his judgment, facilitate the orderly conduct of business. Any member of the public who wishes to file a written statement with the Committee will be permitted to do so, either before or after the meeting. Members of the public who wish to make oral statements should inform Lois Weeks, Director, Advisory Committee Management, (202) 961-7022 at least 5 days before the meeting and reasonable provision will be made for their appearance on the agenda.

Further information concerning this meeting may be obtained from the Advisory Committee Management Office.

Minutes of the meeting will be made available for public inspection at the Federal Energy Administration, Washington, D.C.

Issued at Washington, D.C. on November 26, 1975.

MICHAEL F. BUTLER,
General Counsel.

[FR Doc.75-32443 Filed 11-26-75; 4:59 pm]

FEDERAL MARITIME COMMISSION

[Independent Ocean Freight Forwarder License No. 1506]

AMERICAN CONTAINER TRANSPORT, INC.

Order of Revocation

By letter dated October 2, 1975, American Container Transport, Inc., P.O. Box 9085, Baltimore, Maryland 21222 was advised by the Federal Maritime Commission that Independent Ocean Freight Forwarder License No. 1506 would be automatically revoked or suspended unless a valid surety bond was filed with the Commission on or before October 30, 1975.

Section 44(c), Shipping Act, 1916, provides that no independent ocean freight forwarder license shall remain in force unless a valid bond is in effect and on file with the Commission. Rule 510.9 of Federal Maritime Commission General Order 4, further provides that a license will be automatically revoked or suspended for failure of a licensee to maintain a valid bond on file.

American Container Transport, Inc. has failed to furnish a valid surety bond.

By virtue of authority vested in me by the Federal Maritime Commission as set forth in Manual of Orders, Commission Order No. 201.1 (Revised) Section 5.01 (c) (dated June 30, 1975):

It is ordered, That Independent Ocean Freight Forwarder License No. 1506 be returned to the Commission for cancellation.

It is further ordered, That Independent Ocean Freight Forwarder License No. 1506 Issued to American Container

Transport, Inc. be and is hereby revoked effective October 30, 1975.

It is further ordered, That a copy of this Order be published in the FEDERAL REGISTER and served upon American Container Transport, Inc.

LEROY F. FULLER,
Director, Bureau of Certification & Licensing.

[FR Doc.75-32424 Filed 12-1-75; 8:45 am]

COMPANIA SUD AMERICANA DE VAPORES AND PRUDENTIAL LINES, INC.

Agreement Filed

Notice is hereby given that the following agreement has been filed with the Commission for approval pursuant to section 15 of the Shipping Act, 1916, as amended (39 Stat. 733, 75 Stat. 46 U.S.C. 814).

Interested parties may inspect and obtain a copy of the agreement at the Washington office of the Federal Maritime Commission, 1100 L Street NW., Room 10126; or may inspect the agreement at the Field Offices located at New York, N.Y., New Orleans, La., San Juan, Puerto Rico and San Francisco, California. Comments on such agreements, including requests for hearing, may be submitted to the Secretary, Federal Maritime Commission, Washington, D.C. 20573, on or before December 12, 1975. Any person desiring a hearing on the proposed agreement shall provide a clear and concise statement of the matters upon which they desire to adduce evidence. An allegation of discrimination or unfairness shall be accompanied by a statement describing the discrimination or unfairness with particularity. If a violation of the Act or detriment to the commerce of the United States is alleged, the statement shall set forth with particularity the acts and circumstances said to constitute such violation or detriment to commerce.

A copy of any such statement should also be forwarded to the party filing the agreement (as indicated hereinafter) and the statement should indicate that this has been done.

Notice of Agreement Filed by:

Harold T. Quinn, Esquire, Barrett, Smith, Schapiro & Simon, 26 Broadway, New York, New York 10004.

Agreement No. 9941-2, between Compania Sud Americana De Vapores and Prudential Lines, Inc., is a petition by the parties to extend the termination date of their pooling, sailing and equal access to government-controlled cargo agreement in the trade from U.S. Atlantic Coast ports to ports on the Chilean Coast, as far south as and including the ports of Talcahuana and San Vicente, from December 31, 1975, to December 31, 1980.

By Order of the Federal Maritime Commission.

Dated: November 26, 1975.

FRANCIS C. HURNEY,
Secretary.

[FR Doc.75-32422 Filed 12-1-75; 8:45 am]

INDEPENDENT OCEAN FREIGHT FORWARDER LICENSE

Applicants

Notice is hereby given that the following applicants have filed with the Federal Maritime Commission applications for licenses as independent ocean freight forwarders pursuant to Section 44(a) of the Shipping Act, 1916, (75 Stat. 522 and 46 U.S.C. 841(b)).

Persons knowing of any reason why any of the following applicants should not receive a license are requested to communicate with the Director, Bureau of Certification and Licensing, Federal Maritime Commission, Washington, D.C. 20573.

J. H. Bachmann, Inc., 17 Battery Place, New York, New York 10004.

Officers: W. Kulenkampff, President, Horst Rehling, Vice President, Fritz Reuter, Vice President/Secretary/Treasurer, U. Klingenberg, Asst. Vice President.

Cox-Patrick Transfer & Storage Company, 5607 Forney Drive, Houston, Texas 77036. Officers: Clifton D. Cox, President, Clifton D. Cox, Jr., Vice President, Willie W. Cox, Secretary/Treasurer.

Christine Kalakuka Stockwell, 3218 San Carlos Way, Union City, California 94587.

P. W. Bellingall, Inc., 330 Jackson Street, San Francisco, California 94111.

Officers: Dennis Falk, President, Jack Crowley, Vice President, Jewel C. Falk, Secretary, Barry W. Falk, Treasurer.

Franklin Forwarding Company, Inc., 1618-77th Street, Brooklyn, New York 11214.

Officers: Frances L. Ligotti, President, Anthony Merola, Secretary/Treasurer.

Universal Forwarders, Marcelo V. Castro d/b/a, 113 W. Grand Avenue, El Segundo, California 90245.

P. C. Devine Inc., 17 Battery Place, New York, New York 10004.

Officers: Philip C. Devine, President, Catherine Devine, Vice President.

Customs Trade Service, 125 West Eighth Street, San Pedro, California 90731.

Officers: Deborah A. Karen, Partner, Roy (NMI) Karen, Partner, Lorenzo E. Igayac, Partner.

Caribe Fast Freight Corporation, 4471 N.W. 36th Street, Miami Springs, Florida 33148.

Officers: Hector A. Ferrer, President/Treasurer, Jose M. Insua, Vice President/Secretary, Juan J. Massa, Director.

"Lana" International, Svetlana Cirilov d/b/a, 11918 Aviation Boulevard, Inglewood, California 90304.

Transnational Shipping Corp., 17 Battery Place, New York, New York.

Officers: William Certilman, President/Treasurer, Basil B. Jones, Exec. Vice President/Secretary, Theodore Novin, Vice President.

Earl R. Sauls & Associates, 5432 West 104th Street, Los Angeles, California 90045.

Officers: Earl R. Sauls, President, Maria L. Sauls, Treasurer, Leonard M. Fertman, Secretary, Donald Edward Doss, Vice President.

J. B. Cazary, 9555 N. Kendall Drive, Miami, Florida 33176.

Officers: Joseph B. Cazary, President, Susan Cazary, Secretary.

By the Federal Maritime Commission.

Dated: November 25, 1975.

FRANCIS C. HURNEY,
Secretary.

[FR Doc.75-32423 Filed 12-1-75;8:45 am]

A/S THOR DAHL, ET AL.

Agreement Filed

Notice is hereby given that the following agreement has been filed with the Commission for approval pursuant to section 15 of the Shipping Act, 1916, as amended (39 Stat. 733, 75 Stat. 763, 46 U.S.C. 814).

Interested parties may inspect and obtain a copy of the agreement at the Washington office of the Federal Maritime Commission, 1100 L Street NW., Room 10126; or may inspect the agreement at the Field Offices located at New York, N.Y., New Orleans, Louisiana, San Francisco, California and Old San Juan, Puerto Rico. Comments on such agreements, including requests for hearing, may be submitted to the Secretary, Federal Maritime Commission, Washington, D.C., 20573, on or before December 22, 1975. Any person desiring a hearing on the proposed agreement shall provide a clear and concise statement of the matters upon which they desire to adduce evidence. An allegation of discrimination or unfairness shall be accompanied by a statement describing the discrimination or unfairness with particularity. If a violation of the Act or detriment to the commerce of the United States is alleged, the statement shall set forth with particularity the acts and circumstances said to constitute such violation or detriment to commerce.

A copy of any such statement should also be forwarded to the party filing the agreement (as indicated hereinafter) and the statement should indicate that this has been done.

A/S THOR DAHL, PACIFIC FAR EAST LINE, INC. AND POLYNESIA LINE, LTD.

Notice of Agreement Filed by:

F. Conger Fawcett, Esquire, Graham & James, One Maritime Plaza, San Francisco, California 94111.

Agreement No. 10205, among A/S Thor Dahl, Pacific Far East Line, Inc. and Polynesia Line, Ltd. would allow the parties thereto to establish a rate agreement in the trade between the Pacific Coast of the United States and Canada, on the one hand, and Eastern (American) Samoa, Western Samoa, and Tahiti, on the other. Under the agreement, the parties may discuss any subject of common interest including rates, charges, classifications, practices, procedures and related tariff matters to be observed by them in the trade and they may agree on such subjects, but each member retains the right to alter for itself any rate, charge, rule or regulation contained in its tariff, at any time, but only after giving to the other parties at least forty-eight (48) hours advance notice of such intention.

By Order of the Federal Maritime Commission.

Dated: November 26, 1975.

FRANCIS C. HURNEY,
Secretary.

[FR Doc.75-32425 Filed 12-1-75;8:45 am]

[Docket No. 75-53]

TRADER NAVIGATION CO., LTD., ET AL. VS. COLUMBUS LINE, INC., ET AL.

Filing of Complaint

NOVEMBER 24, 1975.

Notice is hereby given that a complaint filed by Trader Navigation Co., Ltd., Refrigerated Express Lines, Ltd. and Maritime Fruit Carriers Co., Ltd. against Columbus Line, Inc., Farrell Lines, Inc., Associated Container Transportation, Ltd. and Australian Shipping Commission was served November 24, 1975. The complaint alleges violation by respondents of sections 14, 14b, 15, 16, 17 and 18 of the Shipping Act, 1916 and section 19 of the Merchant Marine Act of 1920. The violations are alleged to result from a contract or contracts between respondents and the Australian Meat Board, whereby complainants would be excluded from the carriage of meat in the trade from Australia to U.S. Gulf and Atlantic ports.

Hearing in this matter shall commence on or before May 24, 1976.

FRANCIS C. HURNEY,
Secretary.

[FR Doc.75-32428 Filed 12-1-75;8:45 am]

[Docket No. 75-55]

UNION CARBIDE INTER-AMERICA, INC. VS. VENEZUELAN LINE

Filing of Complaint

NOVEMBER 25, 1975.

Notice is hereby given that a complaint filed by Union Carbide Inter-America, Inc. against Venezuelan Line (Compania Anonima Venezolana De Navegacion) was served November 25, 1975. The complaint alleges that complainant has been subjected to payment of a freight rate for transportation which is unjust and unreasonable and in violation of section 18(b)(3) of the Shipping Act, 1916.

Hearing in this matter shall commence on or before May 25, 1976.

FRANCIS C. HURNEY,
Secretary.

[FR Doc.75-32426 Filed 12-1-75;8:45 am]

[Docket No. 75-54]

UNION CARBIDE INTER-AMERICA, INC. VS. VENEZUELAN LINE

Filing of Complaint

NOVEMBER 25, 1975.

Notice is hereby given that a complaint filed by Union Carbide Inter-America, Inc. against Venezuelan Line (Compania Anonima Venezolana De Navegacion) was served November 25, 1975. The complaint alleges that complainant has been subjected to payment of a freight rate for transportation which is unjust and unreasonable and in violation of section 18(b)(3) of the Shipping Act, 1916.

Hearing in this matter shall commence on or before May 25, 1976.

FRANCIS C. HURNEY,
Secretary.

[FR Doc.75-32427 Filed 12-1-75;8:45 am]

FEDERAL RESERVE SYSTEM

FIRST NATIONAL AGENCY, INC.

Order Approving Formation of Bank Holding Company and Retention of Insurance Agency Activities

First National Agency, Inc., Wayne, Nebraska, has applied for the Board's approval under section 3(a)(1) of the Bank Holding Company Act (12 U.S.C. 1842(a)(1)) of formation of a bank holding company through acquisition of 88.7 percent of the voting shares of First National Bank of Wayne, Wayne, Nebraska ("Bank"). Applicant has also applied, pursuant to section 4(c)(8) of the Act (12 U.S.C. 1843(c)(8)) and section 25.4(b)(2) of the Board's Regulation Y, for permission to retain the general insurance agency business (in a town with a population of less than 5,000) presently operated by First National Agency, Inc. on the premises of Bank. Such activities have been determined by the Board to be closely related to banking (12 CFR 225.4(a)(9)(iii)(a)).

Notice of the applications, affording opportunity for interested persons to submit comments and views, has been given in accordance with sections 3 and 4 of the Act (40 FR 26734). The time for filing comments and views has expired, and the applications and all comments received have been considered in light of the factors set forth in section 3(c) of the Act, and the considerations specified in section 4(c)(8) of the Act.

Applicant was organized in February 1974 for the purposes of becoming a bank holding company through acquisition of Bank and of operating an insurance agency business. Bank, with deposits of approximately \$12 million, representing .02 of 1 per cent of the total commercial bank deposits in Nebraska,¹ is the second largest of five banks located in the relevant banking market.² Inasmuch as Applicant has no existing subsidiary banks and the proposal represents merely a restructuring of Bank's ownership, the acquisition of Bank by Applicant would have no adverse effects on competition within the area served by Bank. Accordingly, it is concluded that competitive considerations are consistent with approval of the application.

The financial condition, managerial resources, and prospects of Bank are regarded as satisfactory and consistent with approval of the application. The management of Applicant is satisfactory, and Applicant's financial condition and prospects, which are dependent upon profitable operations of both Bank and the insurance agency, appear favorable. Although Applicant will incur debt in connection with the proposal, the projected income from Bank and the insurance agency activities should provide sufficient revenue to service the debt without impairing the financial condition of Bank. In addition, the Board

notes that principals of Applicant, through nine other one-bank holding companies, have interests in six banks in Colorado and three banks in Nebraska. In situations where individuals are involved in more than one one-bank holding company, such as where individuals have established a series or chain of one-bank holding companies, the Board has indicated that such organizations should be analyzed under more restrictive financial standards than are normally used in analyzing multi-bank holding companies.³ Having applied such standards to the present proposal, the Board finds that financial considerations, including the other banking factors, relating to the present proposal are generally satisfactory and consistent with approval of the application. Considerations relating to convenience and needs are also regarded as being consistent with approval of the application to acquire Bank. It is the Board's judgment that consummation of the proposal to form a bank holding company would be consistent with the public interest and the application should be approved.

Applicant has also applied to the Board to retain ownership of the insurance agency business, pursuant to § 225.4(a)(9)(iii)(a) of Regulation Y, which it purchased in March 1974. The agency would continue to engage in the sale of general insurance lines and as credit life insurance; medical and hospital insurance; crop hail, fire and casualty insurance; automobile liability insurance; homeowner's insurance; landlord and tenant insurance; multi-peril insurance; workmen's compensation and surety bonds. Such insurance activities are conducted on the premises of Bank in Wayne, Nebraska, a town which has a population of less than 5,000. It does not appear that the retention of the insurance agency business would have any significant effect on existing or future competition. On the other hand, approval of the application would assure residents of the area of the continuance of a convenient source of insurance services, which factor the Board regards as being in the public interest. There is no evidence in the record indicating that consummation of the proposal would result in any undue concentration of resources, unfair competition, conflicts of interest, unsound banking practices or other adverse effects on the public interest.

Based on the foregoing and other considerations reflected in the record, the Board has determined that the considerations affecting the competitive factors under § 3(c) of the Act and the balance of the public interest factors the Board must consider under § 4(c)(8) both favor approval of Applicant's proposals.

Accordingly, the applications are approved for the reasons summarized

¹ See Board's Order dated October 17, 1975, approving the application of Commercial Bankshares, Inc., Grand Island, Nebraska, to become a bank holding company through acquisition of Commercial National Bank & Trust Company, Grand Island, Nebraska.

above. The acquisition of Bank shall not be made (a) before the thirtieth calendar day following the effective date of this Order; nor (b) later than three months after the effective date of this Order, unless such period is extended for good cause by the Board, or by the Federal Reserve Bank of Kansas City pursuant to delegated authority. The determination as to Applicant's insurance activities is subject to the conditions set forth in section 225.4(c) of Regulation Y and to the Board's authority to require reports by, and make examinations of, holding companies and their subsidiaries and to require such modification or termination of the activities of a bank holding company or any of its subsidiaries as the Board finds necessary to assure compliance with the provisions and purposes of the Act and the Board's regulations and orders issued thereunder, or to prevent evasion thereof.

By order of the Board of Governors, effective November 25, 1975.

[SEAL] GRIFFITH L. GARWOOD,
Assistant Secretary
of the Board.

[FR Doc. 75-32406 Filed 12-1-75; 8:45 am]

VALLEY BANCORP.

Order Approving Acquisition of Bank

Valley Bancorporation, Appleton, Wisconsin, has applied for the Board's approval under Section 3(a)(3) of the Bank Holding Company Act (12 U.S.C. 1842(a)(3)), to acquire 80 percent or more of the voting shares of State Bank of Fredonia, Fredonia, Wisconsin ("Bank").

Notice of the application, affording opportunity for interested persons to submit comments and views, has been given in accordance with Section 3(b) of the Act. The time for filing comments and views has expired, and the Federal Reserve Bank of Chicago has considered the application and all comments received in light of the factors set forth in Section 3(c) of the Act (12 U.S.C. 1842(c)).

Applicant, the seventh largest banking organization in Wisconsin, controls 13 banks with aggregate deposits of \$238.9 million,¹ which represent about 1.7 percent of the total commercial bank deposits in the State. Applicant also controls a trust company and six other non-bank companies. Upon consummation of this proposal, the increase in commercial bank deposits controlled by Applicant would be only nominal, and Applicant's rank in the State would not change. The proposed acquisition would not result in a significant increase in the concentration of banking resources in Wisconsin.

Bank holds deposits of \$4.1 million, representing only 0.1 percent of the total

¹ All banking data are as of December 31, 1974.

² The market is approximated by Wayne County.

¹ All banking data are as of December 31, 1974.

² Voting for this action: Chairman Burns, Governors Holland, Wallach, Coldwell, and Jackson. Absent and not voting: Governors Mitchell and Bucher.

deposits of commercial banks in the relevant market, and is the 57th largest of 60 banking organizations operating therein.¹ The banking office of a subsidiary of Applicant closest to the sole office of Bank is located about 17 miles northwest in Kewaskum, Wisconsin. Applicant's subsidiary bank in Kewaskum is located outside the relevant market and there is no meaningful competition presently existing between it and Bank, nor is there any existing competition between Bank and Applicant's other 12 banks. Moreover, future competition between these banks is unlikely to develop due to the restrictions of Wisconsin branching law and the nature of the intervening areas. Although Applicant has the resources to enter the Milwaukee market *de novo*, the low ratio of population to number of banking offices and the low absolute population growth of the Fredonia area of the Milwaukee market makes *de novo* entry unlikely, and the acquisition of Bank by Applicant as a foothold entry is an acceptable alternative. Accordingly, competitive considerations are consistent with approval of the application.

The financial and managerial resources and future prospects of Applicant and its existing subsidiary banks are considered generally satisfactory, particularly in view of capital funds which Applicant has injected into certain subsidiary banks pursuant to a previous commitment. Bank's present financial condition and capitalization is considered to be generally sound under current ownership, and its future prospects would be significantly enhanced as a subsidiary of Applicant.

Applicant proposes to assist Bank upgrade the services it offers to the public. The many financial, managerial, and other resources of Applicant would be made available to Bank, which should increase Bank's internal efficiencies and increase the quality and quantity of services to the public. New trust services, not now available in Fredonia, would be introduced by Bank with assistance from Applicant's trust company subsidiary. Convenience and needs considerations are consistent with and lend some weight toward approval of the application. It has been determined that the proposed acquisition is in the public interest and that the application should be approved for the reasons summarized above.

On the basis of the record as summarized above, the Federal Reserve Bank of Chicago approves the application, provided the transaction shall not be consummated (a) before the thirtieth calendar day following the effective date of this Order, or (b) later than three months after the effective date of this Order, unless such period is extended for good cause by the Board or this Federal Reserve Bank pursuant to delegated authority.

By order of the Federal Reserve Bank of Chicago, acting pursuant to delegated

¹ The relevant market is approximated by the Milwaukee RMA. Consequently, banking factors lend weight toward approval of the application.

authority for the Board of Governors of the Federal Reserve System, effective November 19, 1975.

[SEAL]

DANIEL M. DOYLE,
First Vice President.

[FR Doc. 75-32405 Filed 12-1-75; 8:45 am]

GENERAL ACCOUNTING OFFICE

REGULATORY REPORTS REVIEW

Receipt of Report Proposal

The following request for clearance of a report intended for use in collecting information from the public was received by the Regulatory Reports Review Staff, GAO, on November 25, 1975. See 44 U.S.C. 3512 (c) & (d). The purpose of publishing this notice in the FEDERAL REGISTER is to inform the public of such receipt.

The notice includes the title of the request received; the name of the agency sponsoring the proposed collection of information; the agency form number, if applicable; and the frequency with which the information is proposed to be collected.

Written comments on the proposed FPC form are invited from all interested persons, organizations, public interest groups, and affected businesses. Because of the limited amount of time GAO has to review the proposed form, comments (in triplicate) must be received on or before December 19, 1975, and should be addressed to Mr. Carl F. Bogar, Assistant Director, Office of Special Programs, United States General Accounting Office, Room 5216, 425 I Street NW., Washington, D.C. 20548.

Further information may be obtained from Patsy J. Stuart of the Regulatory Reports Review Staff, 202-376-5425.

FEDERAL POWER COMMISSION

Request for clearance of new Form No. 12E-2, "Supplemental Power Statement (Supplement to FPC Form No. 12)," which is to supersede Form No. 12E-1, Monthly Power Statement. The new Form No. 12E-2 consists of five schedules dealing with: (1) reporting month energy, capability and peak load data; (2) near-term summer/winter capability and peak load data; (3) generating unit additions, revisions and retirements—ten year plans; (4) transmission line additions, revisions and retirements—six year plans; and (5) ten year energy and peak load forecast. It is estimated that the number of responding electric utilities will be 275 instead of the 580 respondents to Form No. 12E-1, Schedule 1 is to be filed monthly on the 15th of the month following the reporting month and it is estimated that approximately 2 man hours will be required for each monthly report. Schedules 2-5 are to be filed semi-annually on April 1st and October 1st of each year and it is estimated that approximately 4 man hours will be required per response.

CARL F. BOGAR,
Assistant Director,
Regulatory Reports Review.

[FR Doc. 75-32382 Filed 12-1-75; 8:45 am]

REGULATORY REPORTS REVIEW

Receipt of Report Proposal

The following request for clearance of a report intended for use in collecting information from the public was received by the Regulatory Reports Review Staff, GAO, on November 24, 1975. See 44 U.S.C. 3512(c) & (d). The purpose of publishing this notice in the FEDERAL REGISTER is to inform the public of such receipt.

The notice includes the title of the request received; the name of the agency sponsoring the proposed collection of information; the agency form number, if applicable; and the frequency with which the information is proposed to be collected.

Written comments on the proposed EEOC form are invited from all interested persons, organizations, public interest groups, and affected businesses. Because of the limited amount of time GAO has to review the proposed form, comments (in triplicate) must be received on or before December 19, 1975, and should be addressed to Mr. Carl F. Bogar, Assistant Director, Office of Special Programs, United States General Accounting Office, Room 5216, 425 I Street NW., Washington, D.C. 20548.

Further information may be obtained from Patsy J. Stuart of the Regulatory Reports Review Staff, 202-376-5425.

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

Request for a 1-year clearance of the revised EEOC Form 164, State and Local Government Information (EEO-4). The race/ethnic categories in the EEO-4 have been revised as directed by the Office of Management and Budget (OMB). The filing of this report is required by all state and local governments with 100 or more employees, and an annual sample of those political jurisdictions that have 15-99 employees which are subject to Section 709(c) of Title VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972. Frequency of filing is annually and average annual respondent burden is estimated at 96 hours per respondent.

CARL F. BOGAR,
Assistant Director,
Regulatory Reports Review.

[FR Doc. 75-32383 Filed 12-1-75; 8:45 am]

GENERAL SERVICES ADMINISTRATION

[TEMPORARY REGULATION F-363]

FEDERAL PROPERTY MANAGEMENT REGULATIONS

Revocation of Delegations of Authority

1. *Purpose.* This regulation revokes certain delegations authority to represent the consumer interests of the executive agencies of the Federal Government in utility proceedings which have been terminated.

2. *Effective date.* This regulation is effective immediately.

3. *Effective date.* This regulation expires December 15, 1975.

4. *Revocation.* This revocation identifies those delegations which are no longer in force due to completion of the proceedings for which they were issued. Accordingly, the following FPMR temporary regulations are hereby revoked:

No.	Date	Subject
F-128	Nov. 5, 1971	Delegation of authority to Secretary of Defense—regulatory proceeding.
F-138	Mar. 13, 1972	Do.
F-153	Aug. 24, 1972	Do.
F-196	Oct. 25, 1972	Do.
F-202	Dec. 14, 1972	Do.
F-203	Jan. 4, 1973	Do.
F-211	Feb. 21, 1974	Do.
F-301	Sept. 10, 1974	Do.

DWIGHT A. INK,
Acting Administrator,
of General Services.

NOVEMBER 17, 1975.

[FR Doc.75-32369 Filed 12-1-75;8:45 am]

INTERIM COMPLIANCE PANEL (COAL MINE HEALTH AND SAFETY)

APPLICATION FOR RENEWAL PERMIT ELECTRIC FACE EQUIPMENT STANDARD Notice of Opportunity for Public Hearing

Application for a Renewal Permit for Noncompliance with the Electric Face Equipment Standard prescribed by the Federal Coal Mine Health and Safety Act of 1969 has been received for the item of equipment in underground coal mine as follows:

ICP Docket No. 4374-000, BUCHANAN COUNTY COAL CORPORATION, Mine No. 8, Mine ID No. 44 01748 0, Big Rock, Virginia, ICP Permit No. 4374-004-R-2 (Mescher HD-12 Tractor, I.D. No. L4-3).

In accordance with the provisions of Section 504.7(b), of Title 30, Code of Federal Regulations, notice is hereby given that requests for public hearing as to an application for a renewal permit may be filed within 15 days after publication of this notice. Requests for public hearing must be filed in accordance with 30 CFR Part 505 (35 FR 11296, July 15, 1970,) as amended, copies of which may be obtained from the Panel upon request.

A copy of each application is available for inspection and requests for public hearing may be filed in the office of the Correspondence Control Officer, Interim Compliance Panel, Room 800, 1730 K Street, N.W., Washington, D.C. 20006.

C. DONALD NAGLE,
Vice Chairman,
Interim Compliance Panel.

NOVEMBER 25, 1975.

[FR Doc.75-32347 Filed 12-1-75;8:45 am]

INTERNATIONAL TRADE COMMISSION

[337-TA-16]

CERTAIN ANGOLAN ROBUSTA COFFEE

Appointment of Presiding Officer

Notice is hereby given that on October 2, 1975, the United States International

Trade Commission appointed Commission Chairman Will E. Leonard as Presiding Officer in United States International Trade Commission Investigation No. 337-TA-16, Certain Angolan Robusta Coffee.

By order of the Commission:

Issued: November 25, 1975.

[SEAL] KENNETH R. MASON,
Secretary.

[FR Doc.75-32324 Filed 12-1-75;8:45 am]

[TA-203-1]

CERTAIN CERAMIC TABLEWARE

Investigation and Hearing

Investigation instituted. Following receipt of a petition on October 30, 1975, filed by the American Dinnerware Emergency Committee, the U.S. International Trade Commission on November 24, 1975, instituted an investigation under sections 203(1) (2) and 203(1) (3) of the Trade Act of 1974 for the purpose of gathering evidence in order that it might advise the President of its judgment as to the probable economic effect on the domestic industry producing articles like or directly competitive with

articles chiefly used for preparing, serving, or storing food or beverages, or food or beverage ingredients, all the foregoing temporarily provided for in items 923.01 through 923.15, inclusive, of the appendix of the Tariff Schedules of the United States.

of the termination of import relief presently in effect with respect to such articles. Import relief presently in effect with respect to such articles is scheduled to terminate on April 30, 1976, unless extended by the President.

Public hearing ordered. A public hearing in connection with this investigation will be held in Washington, D.C. at 10 a.m., e.s.t., on Tuesday, January 20, 1976, in the Hearing Room, U.S. International Trade Commission Building, 701 E Street, NW. Requests for appearances at the hearing should be received in writing by the Secretary of the Commission at his office in Washington not later than noon, Thursday, January 15, 1976.

Inspection of petition. The petition filed in this case is available for public inspection at the Office of the Secretary, U.S. International Trade Commission, and at the New York City office of the U.S. International Trade Commission located at 6 World Trade Center.

By order of the Commission:

Issued: November 25, 1975.

[SEAL] KENNETH R. MASON,
Secretary.

[FR Doc.75-32325 Filed 12-1-75;8:45 am]

[337-TA-14]

CERTAIN HIGH FIDELITY AUDIO AND RELATED EQUIPMENT

Appointment of Presiding Officer

Notice is hereby given that on November 14, 1975, the United States Interna-

tional Trade Commission appointed Commission Vice-Chairman Daniel Minchew as Presiding Officer in United States International Trade Commission Investigation No. 337-TA-14, Certain High Fidelity Audio and Related Equipment.

By order of the Commission:

Issued: November 25, 1975.

[SEAL] KENNETH R. MASON,
Secretary.

[FR Doc.75-32323 Filed 12-1-75;8:45 am]

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

[Notice 75-100]

STRATOSPHERIC RESEARCH ADVISORY COMMITTEE

Date and Place of Meeting

The Stratospheric Research Advisory Committee will meet at Goddard Space Flight Center on December 16 and 17, 1975. The meeting will be held in Room 205 of Building 26 from 9:00 a.m. to 4:30 p.m. December 16 and from 9:00 a.m. to 3:30 p.m. December 17. The meeting is open to members of the public. Visitors must register at the main gate on Greenbelt Road.

The Stratospheric Research Advisory Committee advises NASA concerning the contents and direction of the NASA Stratospheric Research Program.

The agenda for the meeting is as follows:

December 16

- 9 a.m.----- Discussion of Revised NASA Upper Atmospheric Research Program Plan Document.
- 11:30 a.m.----- Future Stratospheric Research Plans at NASA Centers:
 1. GSFC: Theory and Field Measurements.
 2. JPL: Field and Laboratory Measurements.
 3. ARC: Airborne Measurements.
- 1:30 p.m.----- 2. JPL: Field and Laboratory Measurements.
- 3 p.m.----- 3. ARC: Airborne Measurements.
- 4 p.m.----- Open discussion of Plans.

December 17

- 9 a.m.----- Current Assessment of Effects of Space Shuttle Operations.
- 10:30 a.m.----- Discussion of NASA Upper Atmospheric Research Program Plan Volume II: Availability and Applicability of Different Types of Observation Platforms:
 1. Satellites.
 2. Balloons.
 3. Aircraft.
 4. Sounding Rockets.
- 11:30 a.m.----- NIMBUS G.
- 1 p.m.----- Applications Explorer.
- 1:30 p.m.----- Consideration of an International Stratospheric Period (ISP).
- 2:30 p.m.----- Future Meeting Arrangements.

For further information regarding the meeting please contact Dr. David P. Cauffman, Area Code 202/755-3685.

WILLIAM W. SNAVELY,
Assistant Administrator for
DOD and Interagency Affairs,
National Aeronautics and
Space Administration.

NOVEMBER 25, 1975.

[FR Doc.75-32321 Filed 12-1-75;8:45 am]

NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

DANCE ADVISORY PANEL

Revision of Notice of Meeting

Notice is hereby given that, due to a change of agenda, the Notice of Meeting of the Dance Advisory Panel published in the *FEDERAL REGISTER* of November 20, 1975, 54029 is revised as follows:

Pursuant to Section 10(a)(2) of the Federal Advisory Committee Act (Pub. L. 92-463), notice is hereby given that a meeting of the Dance Advisory Panel to the National Council on the Arts will be held on December 7-9, 1975 at Lincoln Center in New York City. On December 7 the meeting hours are 10:00 a.m.-4:30 p.m.; on December 8 from 9:00 a.m.-5:00 p.m.; and on December 9 from 9:00 a.m.-4:00 p.m.

A portion of this meeting will be open to the public on December 7 from 2:00 p.m.-4:30 p.m. and on December 9 from 9:00 a.m.-12:30 p.m. on a space available basis. Accommodations are limited. On December 7 there will be a General discussion and a discussion of Artists-in-Schools Dance Component. On December 9 there will be Policy discussions.

The remaining sessions on this meeting on December 7 from 10:00 a.m.-12:00 noon, December 8 from 9:00 a.m.-5:00 p.m., and December 9 from 12:30 p.m.-4:30 p.m. are for the purpose of Panel review, discussion, evaluation, and recommendation on applications for financial assistance under the National Foundation on the Arts and the Humanities Act of 1965, as amended, including discussion of information given in confidence to the agency by grant applicants. In accordance with the determination of the Chairman published in the *FEDERAL REGISTER* of June 16, 1975, these sessions, which involve matters exempt from the requirements of public disclosure under the provisions of the Freedom of Information Act (5 U.S.C. 552(b), (4), (5), and (6)) will not be open to the public.

Further information with reference to this meeting can be obtained from Mr. Robert M. Sims, Advisory Committee Management Officer, National Endowment for the Arts, Washington, D.C. 20506, or call (202) 634-6377.

ROBERT M. SIMS,
Administrative Officer, National
Endowment for the Arts,
National Foundation on the
Arts and the Humanities.

[FR Doc.75-32389 Filed 12-1-75;8:45 am]

LITERATURE ADVISORY PANEL

Notice of Meeting

Pursuant to Section 10(a)(2) of the Federal Advisory Committee Act (Pub. L. 92-463), notice is hereby given that a meeting of the Literature Advisory Panel to the National Council on the Arts will be held on December 19-20, 1975 from 9:00 a.m.-6:00 p.m. in the 14th floor conference room of the Columbia Plaza Building, 2401 E Street, N.W. Washington, D.C.

A portion of this meeting will be open to the public on December 20 from 1:00 p.m.-6:00 p.m. on a space available basis. Accommodations are limited. There will be a discussion of future actions related to the distribution of literature.

The remaining sessions of this meeting on December 19 from 9:00 a.m.-6:00 p.m. and December 20 from 9:00 a.m.-12:00 noon, are for the purpose of Panel review, discussion, evaluation, and recommendation on applications for financial assistance under the National Foundation on the Arts and the Humanities Act of 1965, as amended, including discussion of information given in confidence to the agency by grant applicants. In accordance with the determination of the Chairman published in the *FEDERAL REGISTER* of June 16, 1975, these sessions, which involve matters exempt from the requirements of public disclosure under the provisions of the Freedom of Information Act (5 U.S.C. 552(b), (4), (5), and (6)) will not be open to the public.

Further information with reference to this meeting can be obtained from Mr. Robert M. Sims, Advisory Committee Management Officer, National Endowment for the Arts, Washington, D.C. 20506, or call (202) 634-6377.

ROBERT M. SIMS,
Administrative Officer, National
Endowment for the Arts,
National Foundation on the Arts
and the Humanities.

[FR Doc.75-32388 Filed 12-1-75;8:45 am]

NUCLEAR REGULATORY COMMISSION

[Docket No. 50-237]

COMMONWEALTH EDISON CO. (DRESDEN NUCLEAR POWER STATION UNIT 2)

Proposed Issuance of Amendment to Provisional Operating License

The Nuclear Regulatory Commission (the Commission) is considering the issuance of an amendment to Provisional Operating License No. DPR-19, issued to the Commonwealth Edison Company (the licensee), for operation of the Dresden Nuclear Power Station Unit 2 (the facility), a boiling water reactor located in Grundy County, Illinois, and currently authorized for operation at power levels up to 2527 MWt.

In accordance with the licensee's application for a license amendment dated July 1, 1975, as supplemented, the amendment would modify operating limits in the Technical Specifications based upon an evaluation of ECCS performance cal-

culated in accordance with an acceptable evaluation model that conforms to the requirements of the Commission's regulations in 10 CFR § 50.46. The amendment would modify various limits established in accordance with the Commission's Interim Acceptance Criteria, and would, with respect to the facility, terminate the further restrictions imposed by the Commission's December 27, 1974 Order for Modification of License, and would impose instead, limitations established in accordance with the Commission's Acceptance Criteria for Emergency Core Cooling Systems for Light Water Nuclear Power Reactors, 10 CFR Section 50.46. The amendment would also revise the Technical Specifications to permit operation of the facility using operating limits based on the General Electric Thermal Analysis Basis (GETAB) in accordance with the licensee's application for license amendment dated September 3, 1975.

Prior to issuance of the proposed license amendment, the Commission will have made the findings required by the Atomic Energy Act of 1954, as amended (the Act), and the Commission's rules and regulations.

By January 1, 1976, the licensee may file a request for a hearing and any person whose interest may be affected by this proceeding may file a request for a hearing in the form of a petition for leave to intervene with respect to the issuance of the amendment to the subject facility operating license. Petitions for leave to intervene must be filed under oath or affirmation in accordance with the provisions of § 2.714 of 10 CFR Part 2 of the Commission's regulations. A petition for leave to intervene must set forth the interest of the petitioner in the proceeding, how that interest may be affected by the results of the proceeding, and the petitioner's contentions with respect to the proposed licensing action. Such petitions must be filed in accordance with the provisions of this *FEDERAL REGISTER* Notice and § 2.713, and must be filed with the Secretary of the Commission, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Docketing and Service Section, by the above date. A copy of the petition and/or request for a hearing should be sent to the Executive Legal Director, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555 and to John W. Rowe, Esquire of Isham, Lincoln and Beale, One First National Plaza, Chicago, Illinois 60670, the attorney for the licensee.

A petition for leave to intervene must be accompanied by a supporting affidavit which identifies the specific aspect or aspects of the proceeding as to which intervention is desired and specifies with particularity the facts on which the petitioner relies as to both his interest and his contentions with regard to each aspect on which intervention is requested. Petitions stating contentions relating only to matters outside the Commission's jurisdiction will be denied.

All petitions will be acted upon by the Commission or licensing board desig-

nated by the Commission or by the Chairman of the Atomic Safety and Licensing Board Panel. Timely petitions will be considered to determine whether a hearing should be noticed or another appropriate order issued regarding the disposition of the petitions.

In the event that a hearing is held and a person is permitted to intervene, he becomes a party to the proceeding and has a right to participate fully in the conduct of the hearing. For example, he may present evidence and examine and cross-examine witnesses.

For further details with respect to this action, see (1) the application for amendment dated July 1, 1975 (as supplemented by filings dated July 7 and 10, 1975, August 25, 1975, and September 19, 1975), and September 3, 1975, (2) the April 8, 1975 Quad-Cities Unit 2 licensee submittal in Docket 50-265 which is applicable to Dresden 2 and is the non-proprietary version of the Dresden 2 proprietary submittal dated July 21, 1975, (3) the Commission's Order for Modification of License dated December 27, 1974 and the documents referred to in the Order (published in the FEDERAL REGISTER on January 9, 1975, 40 FR 1790), (4) the non-proprietary General Electric Report NEDO-10958 on GETAB, and (5) the Commission's evaluation dated September 1974 of the General Electric Report (NEDO-10958). All of these items are available for public inspection at the Commission's Public Document Room, 1717 H Street, N.W., Washington, D.C., and at the Morris Public Library at 604 Liberty Street in Morris, Illinois 60451. The license amendment and the Safety Evaluation, when issued, may be inspected at the above locations and a copy may be obtained upon request addressed to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Reactor Licensing.

Dated at Bethesda, Maryland, this 21st day of November, 1975.

For the Nuclear Regulatory Commission.

B. C. BUCKLEY,
Acting Chief, Operating Reactors Branch No. 2, Division of Reactor Licensing.

[FR Doc.75-32276 Filed 12-1-75;8:45 am]

[Docket No. 50-29]

YANKEE ATOMIC ELECTRIC CO.
Proposed Issuance of Amendment to Facility Operating License

The Nuclear Regulatory Commission (the Commission) is considering the issuance of an amendment to Facility Operating License No. DPR-3 issued to Yankee Atomic Electric Company (the licensee) for operation of the Yankee Nuclear Power Station (the facility), a pressurized-water reactor located in Rowe, Massachusetts, and currently authorized for operation at power levels up to 600 MWt.

In accordance with the licensee's application for a license amendment dated

September 25, 1975, the amendment would add provisions in the Technical Specifications related to the design of spent fuel storage racks. The licensee proposes to replace two of the existing three storage racks which have a combined storage capacity of 66 fuel assemblies with anodized aluminum fixed poison (Boral) curtain racks which have a capacity of 285 assemblies. Some increased capacity would be accomplished as a result of the reduced center-to-center spacing of the assemblies in the design of the proposed spent fuel storage racks. The existing third fuel storage rack which has a capacity of 106 fuel assemblies will be retained and used for storage of assemblies that have a minimum burnup of 20,000 MWD/MTU.

Prior to issuance of the proposed license amendment, the Commission will have made the findings required by the Atomic Energy Act of 1954, as amended (the Act), and the Commission's rules and regulations.

By January 1, 1976, the licensee may file a request for a hearing and any person whose interest may be affected by this proceeding may file a request for a hearing in the form of a petition for leave to intervene with respect to the issuance of the amendment to the subject facility operating license. Petitions for leave to intervene must be filed under oath or affirmation in accordance with the provisions of § 2.714 of 10 CFR Part 2 of the Commission's regulations. A petition for leave to intervene must set forth the interest of the petitioner in the proceeding, how that interest may be affected by the results of the proceeding, and the petitioner's contentions with respect to the proposed licensing action. Such petitions must be filed in accordance with the provisions of this FEDERAL REGISTER Notice and § 2.714, and must be filed with the Secretary of the Commission, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Docketing and Service Section, by the above date. A copy of the petition and/or request for a hearing should be sent to the Executive Legal Director, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555 and to Frederic Greenmond, Esquire, New England Electric System, 20 Turnpike Road, Westboro, Massachusetts 01581, the attorney for the licensee.

A petition for leave to intervene must be accompanied by a supporting affidavit which identifies the specific aspect or aspects of the proceeding as to which intervention is desired and specifies with particularity the facts on which the petitioner relies as to both his interest and his contentions with regard to each aspect on which intervention is requested. Petitions stating contentions relating only to matters outside the Commission's jurisdiction will be denied.

All petitions will be acted upon by the Commission or licensing board designated by the Commission or by the Chairman of the Atomic Safety and Licensing Board Panel. Timely petitions will be considered to determine whether a hearing should be noticed or another appropriate order issued regarding the disposition of the petitions.

In the event that a hearing is held and a person is permitted to intervene, he becomes a party to the proceeding and has a right to participate fully in the conduct of the hearing. For example, he may present evidence and examine and cross-examine witnesses.

For further details with respect to this action, see the application for amendment dated September 25, 1975, which is available for public inspection at the Commission's Public Document Room, 1717 H Street, N.W., Washington, D.C., and at the Greenfield Public Library, 402 Main Street, Greenfield, Massachusetts. The license amendment and the Safety Evaluation, when issued, may be inspected at the above locations and a copy may be obtained upon request addressed to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Reactor Licensing.

Dated at Bethesda, Maryland, this 24th day of November 1975.

For the Nuclear Regulatory Commission.

THOMAS V. WAMBACH,
Acting Chief, Operating Reactors Branch No. 1, Division of Reactor Licensing.

[FR Doc.75-32275 Filed 12-1-75;8:45 am]

[Docket Nos. STN 50-528, STN 50-529, and STN 50-630]

ARIZONA PUBLIC SERVICE COMPANY, ET AL.

Notice of Availability of Draft Supplement to Final Environmental Statement for Palo Verde Nuclear Generating Station, Units 1, 2, and 3

Notice is hereby given that a Draft Supplement to the Final Environmental Statement prepared by the Commission's Office of Nuclear Reactor Regulation related to the proposed Palo Verde Nuclear Generating Station, Units 1, 2, and 3 to be constructed in Maricopa County, Arizona, by the Arizona Public Service Company, is available for inspection by the public in the Commission's Public Document Room at 1717 H Street, N.W., Washington, D.C. and in the Phoenix Public Library, Science and Industry Section, 12 East McDowell Road, Phoenix, Arizona. The Draft Supplemental Statement is also being made available at the Department of Economic Planning and Development, State of Arizona, 1624 West Adams Street, Phoenix, Arizona, and at the Maricopa Association of Governments, 1820 West Washington Street, Phoenix, Arizona. Requests for copies of the Draft Supplement to the Final Environmental Statement should be addressed to the U.S. Nuclear Regulatory Commission, Washington, D.C., Attention: Director, Division of Reactor Licensing.

On September 25, 1975, the Nuclear Regulatory Commission issued a Final Environmental Statement for the Palo Verde Nuclear Generating Station, Units 1, 2, and 3 (40 FR 44199). The Tucson Gas and Electric Company has since withdrawn from the consortium building the plant and has been replaced by the

Southern California Edison Company, thus requiring a supplement to the Final Environmental Statement.

Interested persons may submit comments on the Draft Supplement to the Final Environmental Statement for the Commission's consideration. Federal and State agencies are being provided with copies of the Draft Supplemental Statement (local agencies may obtain these documents upon request). Comments are due by January 19, 1976. Comments by Federal, State, and local officials, or other persons received by the Commission will be made available for public inspection at the Commission's Public Document Room in Washington, D.C. and the Phoenix Public Library, Science and Industry Section, 12 East McDowell Road, Phoenix, Arizona. Upon consideration of comments submitted with respect to the draft supplemental statement, the Commission's staff will prepare a final supplemental statement, the availability of which will be published in the FEDERAL REGISTER.

Comments on the Draft Supplement to the Final Environmental Statement from interested persons of the public should be addressed to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Reactor Licensing.

Dated at Rockville, Maryland, this 25th day of November 1975.

For the Nuclear Regulatory Commission.

JAN A. NORRIS,
Acting Chief, Environmental
Projects Branch 4, Division of
Reactor Licensing.

[FR Doc.75-32548 Filed 12-1-75;8:45 am]

POSTAL RATE COMMISSION

POSTAL FACILITIES

Notice of Visit

NOVEMBER 25, 1975.

Notice is hereby given that the Chairman of the Postal Rate Commission will be visiting Postal Service facilities on the dates indicated for the purpose of acquiring general background knowledge of postal operations.

No particular matter at issue in contested proceedings before the Commission nor the substantive merits of a matter that is likely to become a particular matter at issue in contested proceedings before the Commission will be discussed.

A report of the visit will be on file in the Commission's Docket room.

Place of visit	Date of visit
San Francisco, Calif.	Dec. 2, 3, and 4, 1975.
Seattle, Wash.	Dec. 5, 1975.

By direction of the Commission.

JAMES R. LINDSAY,
Secretary of the Commission.

[FR Doc.75-32355 Filed 12-1-75;8:45 am]

[Docket No. R76-1; Docket No. MC 73-1]

SPECIAL ASSISTANT TO COMMISSIONER

Notice of Appointment

NOVEMBER 25, 1975.

On October 20, 1975, the Prehearing Conference Statement of the Officer of the Commission noted that Stephen L. Sharfman, Trial Attorney for the Litigation Division of the Commission had been assigned to the staff of the Officer of the Commission who shall represent the interests of the general public in Docket No. R76-1 pursuant to Section 3624(a) of the Postal Reorganization Act (39 U.S.C. § 3624(a)). Mr. Sharfman has recently been appointed as Special Assistant to Commissioner Paul A. Miltich, effective on or about November 22, 1975. To permit Mr. Sharfman to prepare for and carry out his new duties, his assignment to the staff of the Officer of the Commission has been concluded.

The Commission has given careful consideration to the question of whether Mr. Sharfman's association with the Officer of the Commission will preclude him from advising the Commission with respect to decisions in this proceeding. After a complete review of Mr. Sharfman's actions including appearances at prehearing conferences and the preparation of pretrial pleadings, we have concluded that neither Rule 8 of the Commission's Rules of Practice nor any other law or regulation preclude Mr. Sharfman from advising the Commission with respect to its decision in this proceeding. Out of an abundance of caution, however, neither the Commission nor Commissioner Miltich will be advised by Mr. Sharfman on any matters as to which the Officer of the Commission has taken a position in the pretrial proceedings in Docket No. R76-1.

Mr. Sharfman has also served as counsel for the Officer of the Commission designated to serve the interests of the general public in Docket No. MC 73-1. Because his participation in Phase I of that case has been extensive, neither the Commission nor Commissioner Miltich will be advised by Mr. Sharfman on any matter in Phase I of Docket No. MC 73-1, nor on any matter in any other Phase of that proceeding, as to which the Officer of the Commission has taken a position in the record to date.

By the Commission.

JAMES R. LINDSAY,
Secretary.

[FR Doc.75-32356 Filed 12-1-75;8:45 am]

SECURITIES AND EXCHANGE COMMISSION

NATIONAL MARKET ADVISORY BOARD

Notice of Meeting

This is to give notice pursuant to Section 10(a) of the Federal Advisory Committee Act, 5 U.S.C. App. I 10(a), that the National Market Advisory Board will conduct open meetings on December 15

and 16, 1975 at 500 North Capitol Street Washington, D.C. 20549, Room 776 beginning at 9:30 a.m. on December 15 and 8:30 a.m. on December 16. Initial notice of the meeting was published in the FEDERAL REGISTER on October 7, 1975.

The Board has also announced its plans to hold open meetings on January 19 and 20, 1976 in Los Angeles, California and on February 16 and 17, 1976 in Washington, D.C.

The summarized agenda for the December meeting is as follows:

1. Open organizational meetings of the working groups established at the Board's November meeting: Consolidated limit order book, Trading rules, Administration, Market-making, Role of issuers, Access and membership, Clearance and settlement.
2. Discussion of such other matters as may be properly brought before the Board.

Further information may be obtained by writing Andrew P. Steffan, Director of Economic and Policy Research, Securities and Exchange Commission, Washington, D.C. 20549.

GEORGE A. FITZSIMMONS,
Secretary.

NOVEMBER 25, 1975.

[FR Doc.75-32339 Filed 12-1-75;8:45 am]

[Release No. 11875; File Nos. 600-1 et seq.]

CLEARING AGENCIES

Filing of Applications for Registration

The following clearing agencies have made application to become registered clearing agencies under section 17A of the Securities Exchange Act of 1934 (the "Act") and pursuant to subsection (c) (1) of Rule 17Ab2-1 [17 CFR 240.17-Ab2-1] under the Act:

The Depository Trust Company—File No. 600-1.
Bradford Securities Processing Services, Inc.—File No. 600-2.
American Stock Exchange Clearing Corporation—File No. 600-3.
Stock Clearing Corporation of Philadelphia—File No. 600-4.
Boston Stock Exchange Clearing Corporation—File No. 600-5.
Stock Clearing Corporation—File No. 600-6.
Midwest Securities Trust Company—File No. 600-7.
The Options Clearing Corporation—File No. 600-8.
Midwest Clearing Corporation—File No. 600-9.
Pacific Securities Depository Trust Company—File No. 600-10.
Pacific Clearing Corporation—File No. 600-11.
National Clearing Corporation—File No. 600-12.
TAD Depository Corporation—File No. 600-13.

Pursuant to subsection (c) (1) of Rule 17Ab2-1 under the Act, if requested by an applicant, the Commission may grant the applicant registration as a clearing agency but exempt the applicant from one or more of the requirements as to which the Commission is directed to make a determination pursuant to subparagraphs (A)-(I) of section 17A(b) (3) of the Act. Registration pursuant to subsection (c) (1) of Rule 17Ab2-1 shall not

be effective for more than eighteen (18) months from the date on which registration is made effective by the Commission.

Subsection (c) (2) of Rule 17Ab2-1 requires that, in the case of any clearing agency registered in accordance with subsection (c) (1) of Rule 17Ab2-1, the Commission, not later than nine (9) months from the date such registration is made effective, will either grant registration without exempting the registrant from one or more of the requirements as to which the Commission is directed to make a determination pursuant to subparagraphs (A)-(I) of Section 17A(b) (3) or will institute proceedings to determine whether registration should be denied at the expiration of eighteen (18) months.

In accordance with Securities Exchange Act Release No. 11787, announcing the adoption of Rule 17Ab2-1 and related Form CA-1, it is the Commission's intention, in appropriate cases, to grant registration on or before December 1, 1975, to be effective on December 1, 1975, to applicants which request registration in accordance with subsection (c) (1) of Rule 17Ab2-1 and which filed applications on or prior to November 24, 1975.

Interested persons are invited to submit written data, views and arguments concerning the foregoing applications within six weeks from the date of publication of this notice in the *FEDERAL REGISTER*. Such written data, views and arguments will be considered by the Commission in granting registration or instituting proceedings to determine whether registration should be denied in accordance with subsection (c) (2) of Rule 17Ab2-1. Persons desiring to make written submissions should file six copies thereof with the Secretary of the Commission, Securities and Exchange Commission, 500 North Capitol Street, Washington, D.C., 20549. Reference should be made to the appropriate file number.

Copies of the applications and of all written comments will be available for inspection at the Securities and Exchange Commission's Public Reference Room, 1100 L Street NW., Washington, D.C. 20006.

By the Commission

[SEAL] GEORGE A. FITZSIMMONS,
Secretary.

NOVEMBER 26, 1975.

[FR Doc.75-32533 Filed 12-1-75;8:45 am]

OFFICE OF TELECOMMUNICATIONS POLICY

FREQUENCY MANAGEMENT ADVISORY COUNCIL

Meeting

Notice is hereby given that the Frequency Management Advisory Council (FMAC) will meet at 9:30 a.m., in Room 712, Office of Telecommunications Policy, 1800 G Street NW., Washington, D.C., on Friday, December 12, 1975.

The principal agenda items will be:
1) status of ITU Conference prepara-

tion; 2) OTP frequency management field visits; 3) navigational aids analysis; 4) ATS-6 applications; 5) FCC Spectrum Management Task Force activities; 6) atmospheric effects on communications at millimetric wavelengths through optical wavelengths.

The meeting will be open to the public; any member of the public will be permitted to file a written statement with the Council, before or after the meeting.

The names of the members of the Council, a copy of the agenda, a summary of the meeting, and other information pertaining to the meeting may be obtained from Mr. Jack E. Weatherford, Office of Telecommunications Policy, Washington, D.C. 20404 (telephone: 202-395-5623).

Dated: November 26, 1975.

BROMLEY SMITH,
Advisory Committee
Management Officer.

[FR Doc.75-32377 Filed 12-1-75;8:45 am]

DEPARTMENT OF LABOR

Employment and Training Administration

INDIAN AND NATIVE AMERICAN PROGRAMS

Notice of Fiscal Year Allocations Under Title X of the Public Works and Economic Development Act

Notice is hereby given that the Employment and Training Administration, pursuant to Title X of the Public Works and Economic Development Act, 42 U.S.C. 3241 et seq., is allocating funds under that Act to the Indian prime sponsors listed below. All applications for funds have been approved by the Department of Commerce. The Administration of these funded programs will be handled by the Division of Indian and Native American Programs of the Employment and Training Administration.

Tribal Governors, Inc., 95 Main Street, Orono, Maine 04473.....	\$506,394
Assiniboine and Sioux Tribes, Fort Peck Indian Reservation, P.O. Box 37, Poplar, Montana 59255.....	390,360
Inter-Tribal Council of Nevada, 98 Colony Road, Reno, Nevada 89502.....	231,180
Seneca Nation of Indians, P.O. Box 344, Salamanca, New York 14779.....	11,400
Crow Creek Sioux Tribe, P.O. Box 658, Fort Thompson, South Dakota.....	394,403
Sisseton-Wahpeton Sioux Tribe, 406 Second Avenue East, Sisseton, South Dakota 57262.....	10,000
Great Lakes Inter-Tribal Council, Box 5, Lac du Flambeau, Wisconsin.....	3,784
St. Croix Tribal Council, Star Route, Webster, Wisconsin 54893.....	75,400
Shoshone and Arapahoe Joint Business Council, P.O. Box 217, Fort Washakie, Wyoming 82514.....	16,500
Total.....	\$1,639,401

Signed at Washington, D.C., this 26th day of November, 1975.

ROBERT N. COLOMBO,
Deputy Director, Division of
Indian and Native American
Programs.

[FR Doc.75-32410 Filed 12-1-75;8:45 am]

Manpower Administration

EMPLOYMENT TRANSFER AND BUSINESS COMPETITION DETERMINATIONS UNDER THE RURAL DEVELOPMENT ACT

Notice of Applications

The organizations listed in the attachment have applied to the Secretary of Agriculture for financial assistance in the form of grants, loans, or loan guarantees in order to establish or improve facilities at the locations listed for the purposes given in the attached list. The financial assistance would be authorized by the Consolidated Farm and Rural Development Act, as amended, 7 USC 1924(b), 1932, or 1942(b).

The Act requires the Secretary of Labor to determine whether such Federal assistance is calculated to or is likely to result in the transfer from one area to another of any employment or business activity provided by operations of the applicant. It is permissible to assist the establishment of a new branch, affiliate or subsidiary, only if this will not result in increased unemployment in the place of present operations and there is no reason to believe the new facility is being established with the intention of closing down an operating facility.

The Act also prohibits such assistance if the Secretary of Labor determines that it is calculated to or is likely to result in an increase in the production of goods, materials, or commodities, or the availability of services or facilities in the area, when there is not sufficient demand for such goods, materials, commodities, services, or facilities to employ the efficient capacity of existing competitive commercial or industrial enterprises, unless such financial or other assistance will not have an adverse effect upon existing competitive enterprises in the area.

The Secretary of Labor's review and certification procedures are set forth at 29 CFR Part 75, published January 29, 1975 (40 FR 4393). In determining whether the applications should be approved or denied, the Secretary will take into consideration the following factors:

1. The overall employment and unemployment situation in the local area in which the proposed facility will be located.
2. Employment trends in the same industry in the local area.
3. The potential effect of the new facility upon the local labor market, with particular emphasis upon its potential impact upon competitive enterprises in the same area.
4. The competitive effect upon other facilities in the same industry located

in other areas (where such competition is a factor).

5. In the case of applications involving the establishment of branch plants or facilities, the potential effect of such new facilities on other existing plants or facilities operated by the applicant.

All persons wishing to bring to the attention of the Secretary of Labor any information pertinent to the determinations which must be made regarding these applications are invited to submit

Applications received during the week end Friday, Nov. 21, 1975

Name of applicant	Location of enterprise	Principal product or activity
Lares Shopping Center, Inc.	Lares, P.R.	Shopping center.
Bard College	Annandale, N.Y.	Capital funding of library and theater projects, retirement of mortgage and working capital.
J. A. Barnwell Co., Inc.	Henderson, N.C.	Construction of underground facilities for telephone and utilities.
Watco, Inc.	Shelbyville, Tenn.	Manufactured illuminated signs; fiberglass signs.
Rango Products, Inc.	Crossville, Tenn.	Purchase land, building, and necessary manufacturing equipment to start a manufacturing plant in the plastic industry.
Kemco of North Carolina, Ltd.	Monroe, N.C.	Manufacture of floor finishes, disinfectants, concrete curing compound, and masonry water-proofing material.
Howard Harrill Decorating Co.	Forest City, N.C.	Manufacture of Christmas decorations.
Maple Aire Mobile Village	Reedsburg, Wis.	Rental lots for mobile homes.
Ouchita Marine and Industrial Corp.	Arkadelphia, Ark.	Manufacture of boats.
Charles E. Maddux	Clifton, Tex.	New and used trucks dealership.

[FR Doc.75-32376 Filed 12-1-75; 8:45 am]

Office of the Secretary BIRCH DOOR SKIN INDUSTRY Import Relief

On October 20, 1975, the International Trade Commission (ITC), in accordance with the provisions of Section 201 of the Trade Act of 1974 and in response to a petition for import relief filed by the Columbia Plywood Corporation reported to the President that:

On the basis of its investigation, the Commission does not determine that birch plywood door skins, i.e., plywood, with a face ply of birch, not exceeding in any dimension $\frac{1}{2}$ inch in thickness, 47 inches in width, and 85 inches in length, provided for in item 240.14 of the Tariff Schedules of the United States are being imported into the United States in such increased quantities as to be a substantial cause of serious injury, or threat thereof, to the domestic industry producing an article like or directly competitive with the imported article.

(USITC Publication 743;40 FEDERAL REGISTER 50320.)

Section 224 of the Trade Act provides, in substance, that whenever the United States International Trade Commission begins an investigation under Section 201 of the Act with respect to an industry, the Secretary shall immediately begin a study of—

(1) The number of workers in the domestic industry producing the like or directly competitive article who have been or are likely to be certified as eligible for adjustment assistance, and

(2) The extent to which the adjustment of such workers to the import competition may be facilitated through the use of existing programs.

The Secretary must make a report of this study to the President not later than 15 days after the day on which the Commission makes its report under Section 201. Upon making his report to the President, the Secretary shall also make

such information in writing within two weeks of publication of this notice to: Deputy Assistant Secretary for Manpower, 601 D Street, NW, Washington, D.C. 20213.

Signed at Washington, D.C. this 24th day of November, 1975.

BEN BURDETSKY,
Deputy Assistant Secretary
for Manpower.

it public (with the exception of information which the Secretary determines to be confidential) and shall have a summary of it published in the FEDERAL REGISTER.

The Department of Labor has concluded its study and report on birch plywood door skins. The findings of this report are as follows:

1. On May 15, 1975, the Department of Labor certified approximately 300 workers of the Allen Quimby Veneer Company in Bingham, Maine as eligible to apply for adjustment assistance in accordance with the provisions of the Trade Act. As of September 30, 1975, 303 of them had been found eligible to receive assistance.

2. One group of 25 workers may apply for certification of eligibility to apply for trade adjustment assistance and may subsequently be certified by the Department of Labor over the next year.

3. There will be difficulty in placing dislocated individuals in equivalent employment because of limited employment opportunities within the industry, the general lack of mobility of the workers, and poor local economic conditions. Consequently, reemployment, if sought, will involve considerable retraining and relocation.

4. The Comprehensive Employment and Training Act (CETA) programs appear to be sufficient to meet the needs of the small number who are likely to seek manpower services. The Manpower Administration through its State Employment Service has the authority to purchase training when CETA funds are not available.

Copies of the Department report containing the nonconfidential information developed in the course of the 6-month investigation may be obtained, upon request, from the Office of Trade Adjustment Assistance, U.S. Department of Labor, 200 Constitution Avenue, NW.,

Washington, D.C. 20210 (phone 202-523-7665).

Signed at Washington, D.C. this 21st day of November 1975.

JOEL SEGALL,
Deputy Under Secretary of Labor
for International Affairs.

[FR Doc.75-32418 Filed 12-1-75; 8:45 am]

[TA-W-337]

COBBLERS, INC.

Investigation Regarding Certification of Eligibility To Apply for Worker Adjustment Assistance

On November 14, 1975, the Department of Labor received a petition filed under Section 221(a) of the Trade Act of 1974 ("the Act") by the United Shoe Workers of America on behalf of the workers and former workers of Richard Shoe Corporation, Culver City, California, a subsidiary of Cobblers, Incorporated, Culver City, California (TA-W-337). Accordingly, the Acting Director, Office of Trade Adjustment Assistance, Bureau of International Labor Affairs, has instituted an investigation as provided in Section 221(a) of the Act and 29 CFR 90.12.

The purpose of the investigation is to determine whether absolute or relative increases of imports of articles like or directly competitive with women's casual footwear produced by Cobblers, Incorporated or an appropriate subdivision thereof have contributed importantly to an absolute decline in sales or production, or both, of such firm or subdivision and to the actual or threatened total or partial separation of a significant number or proportion of the workers of such firm or subdivision. The investigation will further relate, as appropriate, to the determination of the date on which total or partial separations began or threatened to begin and the subdivision of the firm involved. A group meeting the eligibility requirements of Section 222 of the Act will be certified as eligible to apply for adjustment assistance under Title II, Chapter 2, of the Act in accordance with the provisions of Subpart B of 29 CFR Part 90.

Pursuant to 29 CFR 90.13, the petitioner or any or any other person showing a substantial interest in the subject matter of the investigation may request a public hearing, provided such request is filed in writing with the Acting Director, Office of Trade Adjustment Assistance, at the address shown below, not later than December 12, 1975.

The petition filed in this case is available for inspection at the Office of the Acting Director, Office of Trade Adjustment Assistance, Bureau of International Labor Affairs, U.S. Department of Labor, 3rd St. and Constitution Ave., N.W., Washington, D.C. 20210.

Signed at Washington, D.C. this 14th day of November 1975.

MARVIN M. FOOKS,
Acting Director, Office of
Trade Adjustment Assistance.

[FR Doc.75-32417 Filed 12-1-75; 8:45 am]

[Secretary of Labor: Order No. 16-75]

EMPLOYMENT STANDARDS PROGRAMS**Delegation of Authority and Assignment of Responsibility for Employment Standards Programs**

1. *Purpose.* To delegate authority and assign responsibility to the Assistant Secretary for Employment Standards.
2. *Directives Affected.* a. The authorities delegated herein are subject to the overall provisions of Secretary's Orders (S.O. 3-73, 27-73, and 24-74 pertaining to procurement and contracting authority; S.O. 27-72 pertaining to emergency preparedness and disaster relief; and departmental policies and procedures pertaining to administrative, organizational, and management processes.
- b. Secretary's Orders 13-71, 14-71, 32-72, 16-73, 8-74, and delegation of authority dated September 23, 1974 (39 FR 34723) are canceled.
3. *Backyard.* Secretary's Order 13-71 established the Employment Standards Administration in the Department of Labor and delegated authority and assigned responsibility for certain employment standards programs. However, subsequent organizational changes and additional assigned statutory responsibilities necessitate the issuance of an updated delegation of authority.
4. *Delegation of Authority and Assignment of Responsibility.* a. *The Assistant Secretary for Employment Standards* is hereby delegated authority and assigned responsibility, except as hereinafter provided, for carrying out the employment standards policies, programs, and activities of the Department of Labor, including direction of the field programs and those functions to be performed by the Secretary of Labor under:
 - (1) The Fair Labor Standards Act of 1938, as amended, 29 U.S.C. 201 et seq., including the issuance of child labor hazardous occupation orders and other regulations concerning child labor standards.
 - (2) The Walsh-Healey Public Contracts Act of 1936, as amended, 41 U.S.C. 35 et seq., except those provisions relating to safety and health delegated to the Assistant Secretary for Occupational Safety and Health.
 - (3) The Service Contracts Act of 1965, as amended, 41 U.S.C. et seq., except those provisions relating to safety and health delegated to the Assistant Secretary for Occupational Safety and Health.
 - (4) The Davis-Bacon Act, as amended, and any laws now existing or subsequently enacted, providing for prevailing wage findings by the Secretary in accordance with or pursuant to the Davis-Bacon Act, as amended, 40 U.S.C. 276a; the Copeland Act, 40 U.S.C. 276c; Reorganization Plan No. 14 of 1950; and the Tennessee Valley Authority Act, 16 U.S.C. 831.
 - (5) The Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. 327 et seq., except those provisions relating to safety and health dele-

gated to the Assistant Secretary for Occupational Safety and Health.

(6) Title III of the Consumer Credit Protection Act, 15 U.S.C. 1671 et seq.

(7) The Vocational Rehabilitation Act Amendments, 1965, 20 U.S.C. 1241.

(8) The Arts and Humanities Act of 1965, 20 U.S.C. 953, except those provisions relating to safety and health delegated to the Assistant Secretary for Occupational Safety and Health.

(9) The Federal Employees' Compensation Act, as amended and extended (5 U.S.C. 8101 et seq., except 8149 as it pertains to the Employees' Compensation Appeals Board).

(10) The Longshoremen's and Harbor Workers' Compensation Act, as amended and extended, except 33 U.S.C. 921(b) as it applies to the Benefits Review Board.

(11) Title IV, Section 415 and Part C, of the Federal Coal Mine Health and Safety Act of 1969, as amended by the Black Lung Benefits Act of 1972, 30 U.S.C. 901 et seq.

(12) The Act of 1920 establishing a Women's Bureau (P.L. 66-259).

(13) The Age Discrimination in Employment Act of 1967 (P.L. 90-202), except those provisions relating to studies and research delegated to the Assistant Secretary for Employment and Training.

(14) The Farm Labor Contractor Registration Act of 1963 (P.L. 88-582), except those provisions relating to the receipt of applications for registration and agreements with Federal or State agencies assigned to the Assistant Secretary for Employment and Training.

(15) The Vietnam Era Veterans' Readjustment Assistance Act of 1972, as amended, 38 U.S.C. 2012, except for those mandatory listing obligations already delegated to the Assistant Secretary for Employment and Training.

(16) Sections 501(a), 501(f), 502, and 503 of the Rehabilitation Act of 1973, as amended, (P.L. 93-112) and Executive Order 11758, except sections 501(b) and 504 of the Act delegated to the Assistant Secretary for Administration and Management; and except Section 504 of the Act as it applies to employment and training programs.

(17) Executive Order 1126—as amended by Executive Order 11221—Status of Women.

(18) Executive Order 11246—as amended by Executive Order 11375—Federal Contract Compliance.

(19) Section 1450(i) of the Safe Drinking Water Act (P.L. 93-523).

(20) Section 507 of the Federal Water Pollution Prevention and Control Act (P.L. 87-88, as amended by P.L. 89-234).

(21) Such additional Federal Acts as may from time to time confer upon the Secretary of Labor duties and responsibilities similar to the Fair Labor Standards Act, 29 U.S.C. 201 et seq., or the Davis-Bacon Act, as amended, 40 U.S.C. 276a-f, and related Acts.

b. In carrying out the authority and responsibility delegated under this Order, the Assistant Secretary for Employ-

ment Standards shall perform the above functions in accordance with existing governmental and departmental regulations.

c. *The Assistant Secretary for Employment Standards* is also delegated authority for making organizational changes within policies established by the Secretary.d. *The Solicitor of Labor* shall have the responsibility for providing legal advice and assistance to all officers of the Department relating to the administration of the statutes and Executive Orders listed in paragraph 4a above. The bringing of legal proceedings under the statutes and Executive Orders listed in paragraph 4a above, the representation of the Secretary of Labor and/or other officials of the Department of Labor, and the determination of whether such proceedings or representation is appropriate in a given case are delegated exclusively to the Solicitor of Labor.5. *Redelegation of Authority.* The authority and responsibility delegated to the Assistant Secretary for Employment Standards may be redelegated.6. *Reservation of Authority.* a. Submission of reports and recommendations to the President and the Congress concerning the administration of statutes and Executive Orders listed in paragraph 4a above is reserved to the Secretary.

b. The jurisdiction of the Wage Appeals Board, as presently described in Secretary's Order 24-70 (36 FR 306) and its rules of practice (29 CFR Part 7) is reserved, and the Board shall be authorized to review decisions under this Order relating to the Davis-Bacon Act and related laws within the scope of its jurisdiction.

7. *Effective Date.* This Order is effective immediately.

Signed at Washington, D.C. this 21st day of November, 1975.

JOHN T. DUNLOP,
Secretary of Labor.

[FR Doc. 75-32419 Filed 12-1-75; 8:45 am]

[TA-W-333]

LUDLOW TYPOGRAPH CO.**Investigation Regarding Certification of Eligibility To Apply for Worker Adjustment Assistance**

On November 14, 1975 the Department of Labor received a petition filed under Section 221(e) of the Trade Act of 1974 ("the Act") by the International Union of Electrical, Radio and Machine Workers on behalf of the workers and former workers of Ludlow Typograph Company, Chicago, Illinois, a division of Ludlow Industries, Des Plaines, Illinois (TA-W-333). Accordingly, the Acting Director, Office of Trade Adjustment Assistance, Bureau of International Labor Affairs, has instituted an investigation as provided in Section 221(a) of the Act and 29 CFR 90.12.

The purpose of the investigation is to determine whether absolute or relative

increases of imports of articles like or directly competitive with matrices (hot metal type casting) produced by Ludlow Typograph Company or an appropriate subdivision thereof have contributed importantly to an absolute decline in sales or production, or both, of such firm or subdivision and to the actual or threatened total or partial separation of a significant number or proportion of the workers of such firm or subdivision. The investigation will further relate, as appropriate, to the determination of the date on which total or partial separations began or threatened to begin and the subdivision of the firm involved. A group meeting the eligibility requirements of Section 222 of the Act will be certified as eligible to apply for adjustment assistance under Title II, Chapter 2, of the Act in accordance with the provisions of Subpart B of 29 CFR Part 90.

Pursuant to 29 CFR 90.13, the petitioner or any other person showing a substantial interest in the subject matter of the investigation may request a public hearing, provided such request is filed in writing with the Acting Director, Office of Trade Adjustment Assistance, at the address shown below, not later than December 12, 1975.

The petition filed in this case is available for inspection at the Office of the Acting Director, Office of Trade Adjustment Assistance, Bureau of International Labor Affairs, U.S. Department of Labor, 3rd St. and Constitution Ave., N.W., Washington, D.C. 20210.

Signed at Washington, D.C. this 14th day of November 1975.

MARVIN M. FOOKS,
Acting Director, Office of
Trade Adjustment Assistance.

[FR Doc.75-32415 Filed 12-1-75;8:45 am]

[TA-W-335]

RATNER CLOTHES CORP.

Investigation Regarding Certification of Eligibility To Apply for Worker Adjustment Assistance

On November 14, 1975 the Department of Labor received a petition filed under Section 221(a) of the Trade Act of 1974 ("the Act") by the Amalgamated Clothing Workers of America on behalf of the workers and former workers of Ratner Clothes Corporation, San Diego, California; California Clothing Corporation, Chula Vista, California and Arizona Slack Corporation, Western, San Diego, California, divisions of Ratner Clothes Corporation, San Diego, California (TA-W-335). Accordingly, the Acting Director, Office of Trade Adjustment Assistance, Bureau of International Labor Affairs, has instituted an investigation as provided in Section 221(a) of the Act and 29 CFR 90.12.

The purpose of the investigation is to determine whether absolute or relative increases of imports of articles like or directly competitive with men's suits, sport jackets, and slacks produced by Ratner Clothes Corporation or an appropriate

subdivision thereof have contributed importantly to an absolute decline in sales or production, or both, of such firm or subdivision and to the actual or threatened total or partial separation of a significant number or proportion of the workers of such firm or subdivision. The investigation will further relate, as appropriate, to the determination of the date on which total or partial separations began or threatened to begin and the subdivision of the firm involved. A group meeting the eligibility requirements of Section 222 of the Act will be certified as eligible to apply for adjustment assistance under Title II, Chapter 2, of the Act in accordance with the provisions of Subpart B of 29 CFR Part 90.

Pursuant to 29 CFR 90.13, the petitioner or any other person showing a substantial interest in the subject matter of the investigation may request a public hearing, provided such request is filed in writing with the Acting Director, Office of Trade Adjustment Assistance, at the address shown below, not later than December 12, 1975.

The petition filed in this case is available for inspection at the Office of the Acting Director, Office of Trade Adjustment Assistance, Bureau of International Labor Affairs, U.S. Department of Labor, 3rd St. and Constitution Ave., N.W., Washington, D.C. 20210.

Signed at Washington, D.C. this 14th day of November 1975.

MARVIN M. FOOKS,
Acting Director, Office of
Trade Adjustment Assistance.

[FR Doc.75-32416 Filed 12-1-75;8:45 am]

INTERSTATE COMMERCE COMMISSION

[Notice No. 923]

ASSIGNMENT OF HEARINGS

NOVEMBER 26, 1975.

Cases assigned for hearing, postponement, cancellation or oral argument appear below and will be published only once. This list contains prospective assignments only and does not include cases previously assigned hearing dates. The hearings will be on the issues as presently reflected in the Official Docket of the Commission. An attempt will be made to publish notices of cancellation of hearings as promptly as possible, but interested parties should take appropriate steps to insure that they are notified of cancellation or postponements of hearings in which they are interested. No amendments will be entertained after the date of this publication.

AB 1 Sub 27, Chicago and North Western Transportation Company Abandonment Between Somers and Harlan, in Calhoun, Carroll, Crawford and Shelby Counties, Iowa, now being assigned February 9, 1976, (1 week), at Carroll, Iowa, in a hearing room to be later designated.

MC 139721, All Travel, Inc., now assigned December 17, 1975, at Philadelphia, Pennsylvania, will be held in Room 3240, William J. Green, Jr. Federal Building, 600 Arch Street.

MC 139134 Sub 2, Kennedy Motors, Inc., now assigned December 4, 1975 at Los Angeles, California, has been postponed to January 19, 1976 (2 days), Los Angeles, California, in a hearing room to be designated later.
MC 135811 Sub 5, Gardner Trucking Co., Inc., application dismissed.
MC 117119 (Sub-No. 537), Willis Shaw Frozen Food Express, Inc., application dismissed.

[SEAL]

ROBERT L. OSWALD,
Secretary.

[FR Doc.75-32434 Filed 12-1-75;8:45 am]

[AB 3 (Sub-No. 8)]

MISSOURI PACIFIC RAILROAD CO.

Abandonment Between Olivier and Sorrell, in Iberia and St. Mary Parishes, Louisiana

Present: Virginia Mae Brown, Commissioner, to whom the matter which is the subject of this order has been assigned for action thereon.

Upon consideration of the record in the above-entitled proceeding, and of a staff-prepared environmental threshold assessment survey which is available to the public upon request; and

It appearing, That no environmental impact statement need be issued in this proceeding because this proceeding does not represent a major Federal action significantly affecting the quality of the human environment within the meaning of the National Environmental Policy Act of 1969, 42 U.S.C. 4321, et seq.; and good cause appearing therefor:

It is ordered, That applicant be, and it is hereby, directed to publish the appended notice in a newspaper of general circulation in Iberia and St. Mary Parishes La., on or before December 11, 1975 and certify to the Commission that this has been accomplished.

And it is further ordered, That notice of this finding shall be given to the general public by depositing a copy of this order and the attached notice in the Office of the Secretary, Interstate Commerce Commission, Washington, D.C., for public inspection, and by delivering a copy of the notice to the Director, Office of the Federal Register, for publication in the FEDERAL REGISTER as notice to interested persons.

Dated at Washington, D.C., this 18th day of November, 1975.

By the Commission, Commissioner Brown.

ROBERT L. OSWALD,
Secretary.

[SEAL]

The Interstate Commerce Commission hereby gives notice that by order dated November 18, 1975, it has been determined that the proposed abandonment by the Missouri Pacific Railroad Company of 10.95 mile segment of line between Olivier and Sorrell and a .2 mile portion of line (between mileposts 82.84 and 83.04) in the vicinity of Garden City, all in Iberia and St. Mary Parishes, La., if approved by the Commission, does not constitute a major Federal action significantly affecting the quality of the

human environment within the meaning of the National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. 4321, *et seq.*, and that preparation of a detailed environmental impact statement will not be required under section 4332(2)(C) of the NEPA.

It was concluded, among other things, that the environmental impacts of the proposed action are considered insignificant because of the low volume of traffic over the line and the absence of any ecological, historical, or public safety impacts which would result from the abandonment. There are no clearly defined land use plans with which the abandonment would conflict. Southern Pacific would continue to serve most of the affected stations.

This determination was based upon the staff preparation and consideration of an environmental threshold assessment survey, which is available on request to the Interstate Commerce Commission, Office of Proceedings, Washington, D.C. 20423; telephone 202-343-7966.

Interested persons may comment on this matter by filing their statements in writing with the Interstate Commerce Commission, Washington, D.C., 20423, on or before December 26, 1975.

This negative environmental determination shall become final unless good and sufficient reason demonstrating why an environmental impact statement should be prepared for this action is submitted to the Commission by the above-specified date.

[FR Doc. 75-32423 Filed 12-1-75; 8:45 am]

[Notice No. 136]

MOTOR CARRIER TEMPORARY AUTHORITY APPLICATIONS

NOVEMBER 26, 1975.

The following are notices of filing of applications for temporary authority under Section 210a(a) of the Interstate Commerce Act provided for under the provisions of 49 C.F.R. 1131.3. These rules provide that an original and six (6) copies of protests to an application may be filed with the field official named in the Federal Register publication no later than the 15th calendar day after the date the notice of the filing of the application is published in the *FEDERAL REGISTER*. One copy of the protest must be served on the applicant, or its authorized representative, if any, and the protestant must certify that such service has been made. The protest must identify the operating authority upon which it is predicated, specifying the "MC" docket and "Sub" number and quoting the particular portion of authority upon which it relies. Also, the protestant shall specify the service it can and will provide and the amount and type of equipment it will make available for use in connection with the service contemplated by the TA application. The weight accorded a protest shall be governed by the completeness and pertinence of the protestant's information.

Except as otherwise specifically noted, each applicant states that there will be

no significant effect on the quality of the human environment resulting from approval of its application.

A copy of the application is on file, and can be examined at the Office of the Secretary, Interstate Commerce Commission, Washington, D.C., and also in the I.C.C. Field Office to which protests are to be transmitted.

MOTOR CARRIERS OF PROPERTY

No. MC 1328 (Sub-No. 17TA), filed November 17, 1975. Applicant: MGS TRANSPORTATION, INC., P.O. Box 270, Alexandria, Ind. 46001. Applicant's representative: Charles Garrett (same address as applicant). Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *Rock wool and rock wool products*, from Rock Wool Industries, Inc., Missouri Division, at Cameron, Mo., to points in Alabama, Arkansas, Connecticut, Delaware, Florida, Georgia, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Nebraska, North Carolina, New Jersey, New York, North Dakota, Ohio, Oklahoma, Pennsylvania, Rhode Island, South Carolina, South Dakota, Tennessee, Texas, Virginia, West Virginia, Wisconsin, and the District of Columbia, under a continuing contract with Rock Wool Industries, Inc., Missouri Division, for 180 days. Supporting shipper: Rock Wool Industries, Inc., Missouri Division, P.O. Box 249, Highway A-West, Cameron, Mo. 64429. Send protests to: J. H. Gray, District Supervisor, Interstate Commerce Commission, Bureau of Operations, 345 West Wayne St., Room 204, Fort Wayne, Ind. 46802.

No. MC 1328 (Sub-No. 18TA), filed November 17, 1975. Applicant: MGS TRANSPORTATION, INC., P.O. Box 270, Alexandria, Ind. 46001. Applicant's representative: Charles Garrett (same address as applicant). Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *Roll paper stock*, Cleve-Pak Corp., at Piermont, N.Y., to Cleve-Pak at Eaton, Ind., under a continuing contract with Cleve-Pak Corp., Partition Division, for 180 days. Applicant has also filed an underlying ETA seeking up to 90 days of operating authority. Supporting shipper: Cleve-Pak Corp., Partition Division 800 South Romy, Eaton, Ind. 47338. Send protests to: J. H. Gray, District Supervisor, Interstate Commerce Commission, Bureau of Operations, 345 West Wayne St., Room 204, Fort Wayne, Ind. 46802.

No. MC 28088 (Sub-No. 14TA), filed November 17, 1975. Applicant: NORTH & SOUTH LINES, INCORPORATED, 2710 South Main St., Harrisonburg, Va. 22801. Applicant's representative: John R. Sims, Jr., 915 Pennsylvania Bldg., 425 13th St., N.W., Washington, D.C. 20004. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Meats, meat products and meat by-products*, from the plant and warehouse facilities of Martini

Packing Co., Inc., Wheeling, W. Va., to Irwin, Pa., for 180 days. Applicant has also filed an underlying ETA seeking up to 90 days of operating authority. Supporting shipper: Martini Packing Co., Inc., 4409 Eoff St., Wheeling, W. Va. 26003. Send protests to: Danny R. Beeler, District Supervisor, Bureau of Operations Interstate Commerce Commission, 215 Campbell Ave., S.W., Roanoke, Va. 24011.

No. MC 41255 (Sub-No. 79TA), filed November 19, 1975. Applicant: GLOSSON MOTOR LINES, INC., P.O. Box 1328, Lexington, N.C. 27292. Applicant's representative: Leonard S. Cassell (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Petroleum products*, (except in bulk, in tank vehicles), and *advertising material, display racks or stands, signs, printed forms, empty containers, and fiberboard boxes*, when in mixed shipments with petroleum products, from Bradford, Emlenton, Farmers Valley, Karns City, Reno, and Rouseville, Pa., and points within five (5) miles of each, to points in Florida, for 180 days. Supporting shippers: Witco Chemical Corp., Bradford, Pa. 16701. Pennzoll Company, P.O. Box 989, Oil City, Pa. 16301. Send protests to: Terrell Price, 800 Briar Creek Road, Suite CC516, Charlotte, N.C. 28205.

No. MC 45910 (Sub-No. 2TA), filed November 19, 1975. Applicant: ROBERT C. HILTZ, INC., Cape Ann Industrial Park, Gloucester, Mass. 01930. Applicant's representative: Alan F. Wohlstetter, 1700 K St., NW., Washington, D.C. 20006. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Used household goods*, between points in Essex, Middlesex, Norfolk, Bristol, Plymouth, Suffolk, Worcester, and Hampden Counties, Mass., restricted to the transportation of traffic having a prior or subsequent movement, in containers, and further restricted to the performance of pickup and delivery service in connection with packing, crating, and containerization or unpacking, uncrating and decontainerization of such traffic, for 180 days. Supporting shippers: Acme Fast Freight, Inc. 12360 Lake City Way, N. E., Seattle, Wash. 98125. Delcher Intercontinental, 4219 Central Ave., St. Petersburg, Fla. 33733. Send protests to: Max Gorenstein, District Supervisor, Interstate Commerce Commission, 150 Causeway St., Boston, Mass. 02114.

No. MC 61396 (Sub-No. 299TA), filed November 18, 1975. Applicant: HERMAN BROS., INC., 2565 St. Marys Ave., P.O. Box 189, Omaha, Neb. 68101. Applicant's representative: John E. Smith, II (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Kiln dust and fly ash*, in bulk, in tank vehicles, from the plantsite of Dundee Cement Company, at or near Clarks-ville, Mo., to points in Arkansas, Illinois,

Iowa, Kansas, Kentucky, Michigan, Indiana, Missouri, Ohio, Oklahoma and Tennessee, for 180 days. Applicant has also filed an underlying ETA seeking up to 90 days of operating authority. Supporting shipper: Walton H. Rice, Jr., Traffic Manager, Dundee Cement Company, Clarksville, Mo. 63336. Send protests to: Carroll Russell, District Supervisor, Interstate Commerce Commission, Suite 620, 110 North 14th St., Omaha, Nebr. 68102.

No. MC 82101 (Sub-No. 13TA), filed November 19, 1975. Applicant: WESTWOOD CARTAGE, INC., 62 Everett St., Westwood, Mass. 02090. Applicant's representative: Arthur M. Marshall, 135 State St., Suite 200, Springfield, Mass. 01103. Authority sought to operate as a *contract carrier*, by motor vehicle, over irregular routes, transporting: *Such merchandise*, as is dealt in by wholesale, retail and chain grocery and food business houses and, in connection therewith *equipment, materials, and supplies*, used in the conduct of such business (except commodities in bulk), between Andover, Mass., on the one hand, and, on the other, Augusta, Bangor, Bath, Brewer, Brunswick, Calais, Dover-Foxcroft, Eastport, Falmouth, Farmington, Gray, Greenville, Kennebunk, Lubec, Machias, Pine Point, Portland, Rumford, Skowhegan, Waldoboro, Waterville, Wells and Winslow, Maine; Berlin, Contoocook, Conway, Dover, Farmington, Groveton, Littleton, Meredith, Somersworth, Wolfeboro and Woodsville, N.H.; and Berby and St. Johnsbury, Vt., under a continuing contract with Cressy, Dockham & Co., Inc., for 180 days. Applicant has also filed an underlying ETA seeking up to 90 days of operating authority. Supporting shipper: Cressy, Dockham & Co., Inc., Andover, Mass. 01810. Send protests to: John B. Thomas, District Supervisor, Interstate Commerce Commission, 150 Causeway St., Boston, Mass. 02114.

No. MC 99213 (Sub-No. 16TA), filed November 19, 1975. Applicant: VIRGINIA FREIGHT LINES, North Main St., Kilmarnock, Va. 22482. Applicant's representative: J. S. Venable, P.O. Box 738, Kilmarnock, Va. 22482. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Fish oil*, (1) From Northumberland County, Va., to points in Florida, Illinois, Indiana, Kentucky, Massachusetts, Michigan, Tennessee and Wisconsin, and (2) from points in Louisiana, Maine, Massachusetts, Mississippi, New Jersey, New York, North Carolina, and Virginia to Northumberland County, Va., for 180 days. Supporting shipper: Zapata Haynie Corporation, Joseph F. Behan, Sales Manager, 5010 York Road, Baltimore, Md. Send protests to: Paul D. Collins, District Supervisor, Bureau of Operations, Interstate Commerce Commission, Room 10-502, Federal Bldg., 400 North 8th St., Richmond, Va. 23240.

No. MC 99521 (Sub-No. 6TA), filed November 17, 1975. Applicant: AIR FREIGHT, INCORPORATED, P.O. Box

151, U.S. Highway 64-70-321, Hickory, N.C. 28601. Applicant's representative: John M. Dunn, Jr., P.O. Box 5647, Charlotte, N.C. 28225. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *General commodities*, (except those of unusual value, commodities in bulk, Classes A and B explosives, commodities requiring special equipment and household goods as defined by the Commission), restricted to traffic having an immediate prior or subsequent movement by air, between Raleigh-Durham Airport, N.C., on the one hand, and, on the other, points in North Carolina, located in and east of Person, Orange, Chatham, Lee, Harnett, Cumberland and Robeson Counties, for 180 days. Supporting shippers: There are approximately 15 statements of support attached to the application, which may be examined at the Interstate Commerce Commission in Washington, D.C., or copies thereof which may be examined at the field office named below. Send protests to: Terrell Price, District Supervisor, 800 Briar Creek Road, Room CC516, Mart Office Bldg., Charlotte, N.C. 28205.

No. MC 103993 (Sub-No. 361TA), filed November 19, 1975. Applicant: MORGAN DRIVE-AWAY, INC., 28615 U.S. 20 West, Elkhart, Ind. 46514. Applicant's representative: Paul D. Borghesani (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Buildings, and building sections*, on undercarriages, from Lincoln, County, N.C., to points in South Carolina, Virginia, West Virginia, Kentucky, and Tennessee, for 180 days. Applicant has also filed an underlying ETA seeking up to 90 days of operating authority. Supporting shipper: R-Anell Homes, Inc., P.O. Box 236, Highway 16, Denver, N.C. 28037. Send protests to: J. H. Gray, District Supervisor, Interstate Commerce Commission, Bureau of Operations, 345 West Wayne St., Room 204, Fort Wayne, Ind. 46802.

No. MC 103993 (Sub-No. 362TA), filed November 17, 1975. Applicant: MORGAN DRIVE-AWAY, INC., 28615 U.S. 20 West, Elkhart, Ind. 46514. Applicant's representative: Paul D. Borghesani (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Trailers designed to be drawn by passenger automobiles*, in initial movements, from the plantsite of Festival Homes of North Carolina, in Union County, N.C., to points in West Virginia, for 180 days. Applicant has also filed an underlying ETA seeking up to 90 days of operating authority. Supporting shipper: Festival Homes of North Carolina, Inc., P.O. Box 99, Marshville, N.C., 28103. Send protests to: J. H. Gray, District Supervisor, Interstate Commerce Commission, Bureau of Operations, 345 West Wayne St., Room 204, Fort Wayne, Ind. 46802.

No. MC 107515 (Sub-No. 996TA), filed November 17, 1975. Applicant: REFRIGERATED TRANSPORT CO., INC., P.O.

Box 308, Forest Park, Ga. 30050. Applicant's representative: Richard M. Tetelbaum, Suite 375, 3379 Peachtree Road, N.E., Atlanta, Ga. 30326. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Such commodities*, as are dealt in or used by food processors, manufacturers, distributors, wholesalers, and retailers (except commodities in bulk), in vehicles equipped with mechanical refrigeration, from the plantsite and warehouse facilities of Fairfield Farm Kitchens, Division of Marriott Corporation, located at points in Prince George's County, Md., and Washington, D.C., to points in that part of the United States in and east of Minnesota, Iowa, Missouri, Oklahoma and Texas, for 180 days. Applicant has also filed an underlying ETA seeking up to 90 days of operating authority. Supporting shipper: Fairfield Farm Kitchens, Division of Marriott Corporation, 5200 Addison Road, N.E., Washington, D.C. 20027. Send protests to: William L. Scroggs, District Supervisor, Interstate Commerce Commission, 1252 W. Peachtree St., N.W., Room 546, Atlanta, Ga. 30309.

No. MC 109682 (Sub-No. 33TA), filed November 17, 1975. Applicant: WHITEFORD TRANSPORT, INC., 640 West Ireland Road, South Bend, Ind. 46880. Applicant's representative: Ronald Whiteford (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Motor vehicles*, in secondary movements in truck-away service, from points in Elkhart County, Ind., to points in the United States (except Alaska and Hawaii), for 180 days. Applicant has also filed an underlying ETA seeking up to 90 days of operating authority. Supporting shipper: Midas-International Corp., Commercial Products Division, Elkhart, Ind. Send protests to: J. H. Gray, District Supervisor, Interstate Commerce Commission, Bureau of Operations, 345 West Wayne St., Room 204, Fort Wayne, Ind. 46802.

No. MC 109689 (Sub-No. 294TA), filed November 17, 1975. Applicant: W. S. HATCH CO., 643 South 800 West, Woods Cross, Utah 84087. Applicant's representative: Mark K. Boyle, 345 South State St., Salt Lake City, Utah 84111. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Sulfuric acid*, in bulk, from San Manuel, Ariz., to Henderson, Nev., for 180 days. Applicant has also filed an underlying ETA seeking up to 90 days of operating authority. Supporting shipper: Phillips Petroleum Company, 154 PBA, Bartlesville, Okla. 74004. Send protests to: Lyle D. Helfer, District Supervisor, Interstate Commerce Commission, Bureau of Operations, 5301 Federal Bldg., 125 South State St., Salt Lake City, Utah 84138.

No. MC 110525 (Sub-No. 1137TA), filed November 17, 1975. Applicant: CHEMICAL LEAMAN TANK LINES, INC., 520 East Lancaster Ave., Downingtown, Pa. 19335. Applicant's representative:

Thomas J. O'Brien (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Meta chloro methyl benzoate*, in bulk, in tank vehicles, from Chattanooga, Tenn., to West Helena, Ark., and *Methyl 3 chloro S nitro benzoate*, in bulk, in tank vehicles, from West Helena, Ark., to Mount Pleasant, Tenn., for 180 days. Applicant has also filed an underlying ETA seeking up to 90 days of operating authority. Supporting shipper: Mobile Chemical Company, P.O. Box 26683. Send protests to: Monica A. Blodgett, Transportation Assistant, Interstate Commerce Commission, 600 Arch St., Room 2-38, Philadelphia, Pa. 19106.

No. MC 113828 (Sub-No. 234TA), filed November 13, 1975. Applicant: O'BOYLE TANK LINES, P.O. Box 30006, Washington, D.C. 20014. Applicant's representative: William P. Sullivan, Federal Bar Bldg., West, 1819 H St. N.W., Washington, D.C. 20006. Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Magnetite*, from Kimballton, Va., to Bessemer, Ala., for 180 days. Applicant has also filed an underlying ETA seeking up to 90 days of operating au-

thority. Supporting shipper: Virginia Lime Company, Ripplemead, Va. 24150. Send protests to: W. C. Hersman, District Supervisor, Interstate Commerce Commission, 12th & Constitution Ave., N.W., Room B-317, Washington, D.C. 20423.

No. MC 141509 TA, filed November 7, 1975. Applicant: DALE HUNT, 14824 Silver Falls Highway, S.E., Sublimity, Ore. 97385. Applicant's representative: Dale Hunt (same address as applicant). Authority sought to operate as a *common carrier*, by motor vehicle, over irregular routes, transporting: *Lime sludge*, (lime waste), from the U & I Sugar Plant, Toppenish, Wash., to points in Linn, Marion, Polk and Jefferson Counties, Ore., for 180 days. Supporting shipper: Lime and Trucking, Inc., 13773 Silver Falls Highway, S.E., Sublimity, Ore. 97385. Send protests to: Odoms, District Supervisor, Bureau of Operations, Interstate Commerce Commission, 114 Pioneer Courthouse, 555 S.W., Yamhill St., Portland, Ore. 97204.

By the Commission.

[SEAL] ROBERT L. OSWALD,
Secretary.

[FR Doc.75-32436 Filed 12-1-75;8:45 am]

[Notice No. 130]

MOTOR CARRIER TRANSFER PROCEEDINGS

DECEMBER 3, 1975.

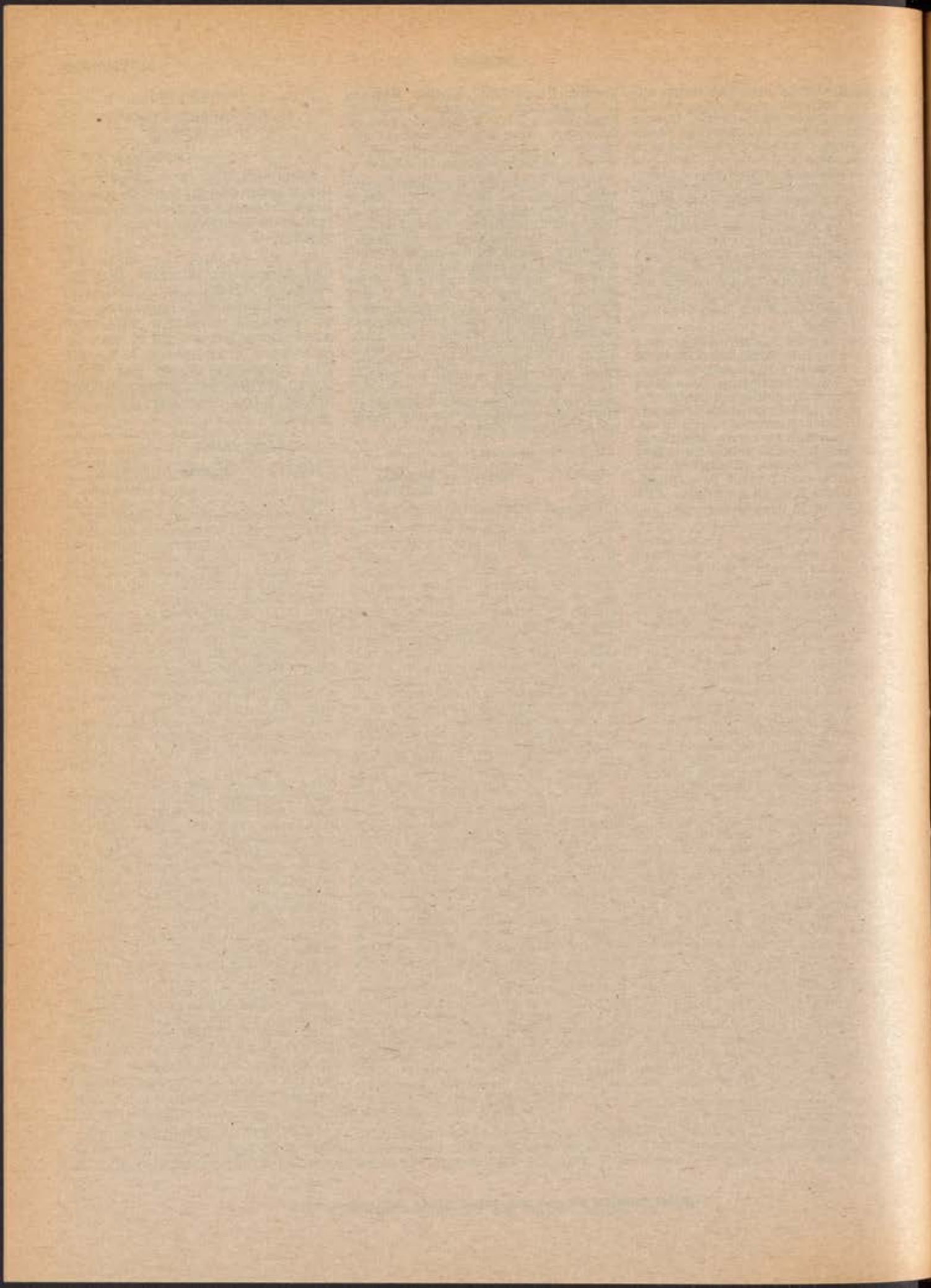
Application filed for temporary authority under section 210a(b) in connection with transfer application under section 212(b) and Transfer Rules, 49 CFR Part 1132:

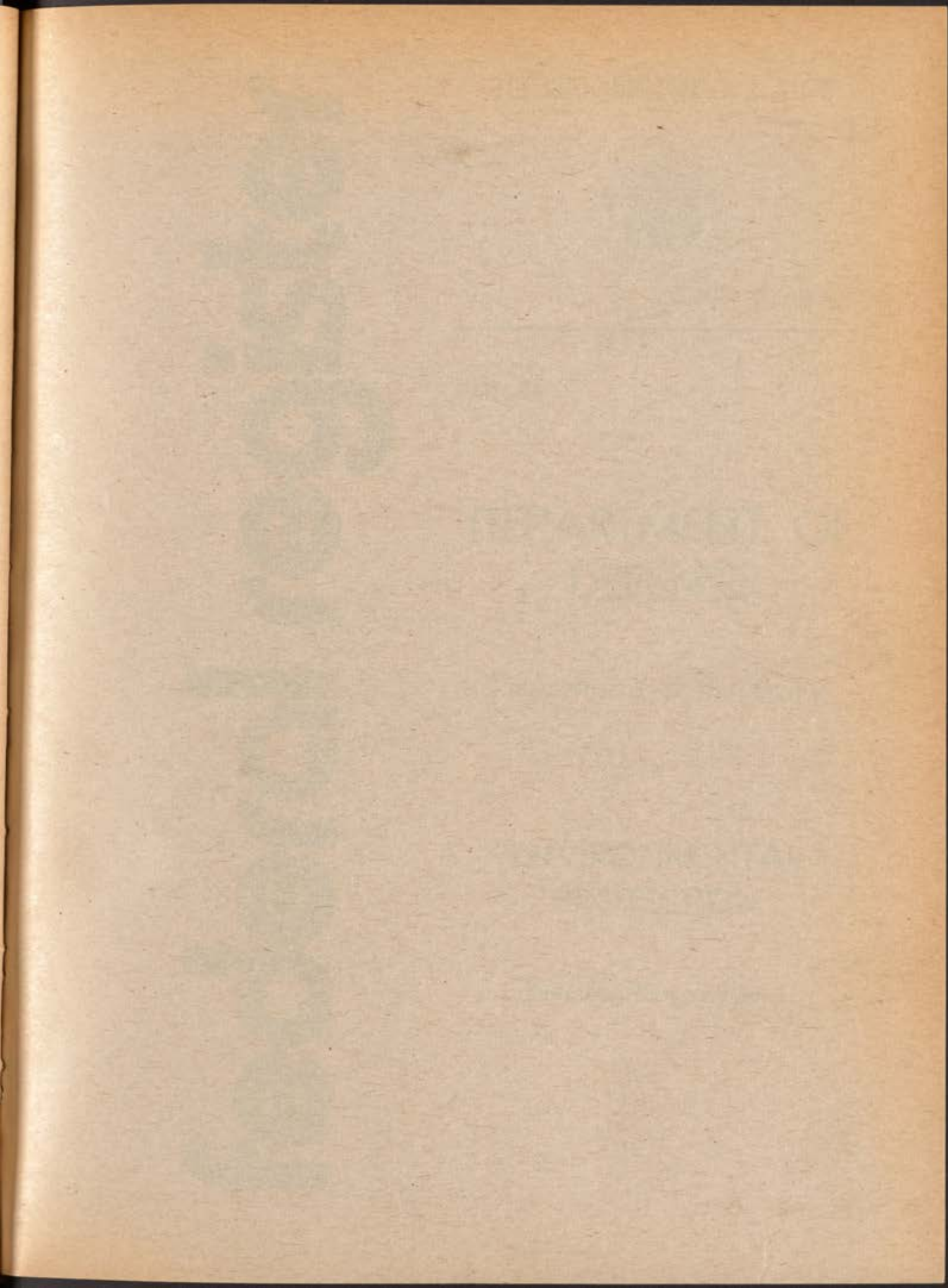
No. MC-FC-76224. By application filed November 21, 1975, DBE, INC., 522 Penman St., Charlotte, N.C., 28202, seeks temporary authority to lease the operating rights of EASTERN TRANSIT-STORAGE COMPANY, 522 Penman St., Charlotte, N.C., 28202, under section 210 a(b). The transfer to DBE, INC., of the operating rights of EASTERN TRANSIT-STORAGE COMPANY, is presently pending.

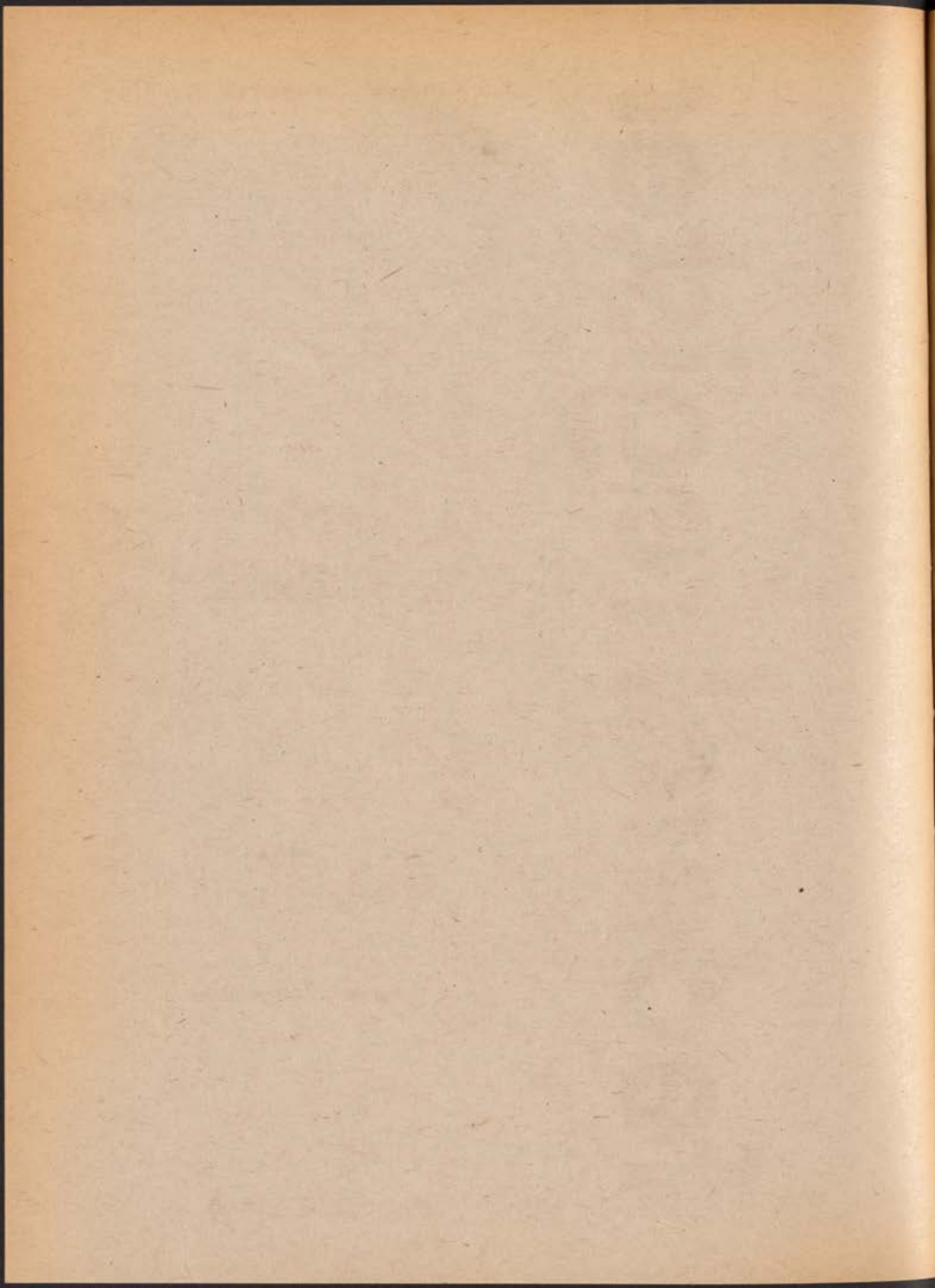
By the Commission.

[SEAL] ROBERT L. OSWALD,
Secretary.

[FR Doc.75-32435 Filed 12-1-75;8:45 am]







federal register

TUESDAY, DECEMBER 2, 1975



PART II:

DEPARTMENT OF DEFENSE

Department of the Army



ENVIRONMENTAL PROTECTION

Peacetime Responsibilities

Title 32—National Defense

CHAPTER V—DEPARTMENT OF THE ARMY

SUBCHAPTER K—ENVIRONMENTAL QUALITY
PART 650—ENVIRONMENTAL PROTECTION AND ENHANCEMENT (AR 200-1)

Peacetime Responsibilities

The Secretary of the Army, acting through the Chief of Engineers, hereby adopts the following regulation prescribing policies, responsibilities, and procedures for the protection and preservation of environmental quality for the Department of the Army in peacetime. The regulation implements Department of Defense Directive 5100.50 and provides general guidance to elements within the Department of the Army on environmental protection.

The regulation, as set forth below, is being codified in the Code of Federal Regulations for the first time, although portions of the regulation have been utilized by the Department of the Army since February 1, 1974. The regulation is being adopted without proposed rulemaking because it provides guidance and procedures in the implementation of the pertinent requirements of existing Federal Statutes, Regulations and Executive Orders pertaining to the environmental protection and enhancement, which will be followed by the various military commanders of the Department of the Army. These requirements include: Executive Order 11752, Prevention, Control and Abatement of Environmental Pollution at Federal Facilities (38 FR 34793, December 19, 1973); the National Environmental Policy Act of 1969 (42 U.S.C. 4321-4347); the Federal Water Pollution Control Act of 1972, as amended (Pub. L. 92-50, 86 Stat. 816, 33 U.S.C. 1251 et al.); the Clean Air Act, as amended (42 U.S.C. 1857 et al.); the Noise Control Act of 1972 (42 U.S.C. 4901-4918); the Federal Insecticide, Fungicide, and Rodenticide Act, as amended by the Federal Environmental Pesticide Control Act of 1972 (7 U.S.C. 136-136y); the Solid Waste Disposal Act, as amended (42 U.S.C. 3259); the Archeological and Historical Preservation Act of 1974 (Pub. L. 93-291), and the Marine Protection, Research, and Sanctuaries Act of 1972 (33 U.S.C. 1401-1444). Accordingly, notice of proposed rulemaking and the procedures applicable thereto are considered unnecessary.

This regulation applies to: All active, semiactive and Army Reserve installations and activities located in the United States; National Guard installations and sites supported with Federally appropriated funds; Army installations and activities overseas in accordance with the general provisions set forth in § 650.5(c); and contractor activities and lessees located on real property in the United States under the jurisdiction of the Department of the Army. The Civil Works activities under the jurisdiction of the Secretary of the Army and implemented by the Chief of Engineers are excluded from the provisions of this regulation. Separate environmental regulations promulgated for Civil Works activities con-

ducted by the Chief of Engineers are found generally in 33 CFR Chapter II.

The proponent agency of this regulation is the Office of the Chief of Engineers. Questions or comments on the regulation may be referred to the following address:

Office of the Chief of Engineers, Department of the Army, ATTN: DAEN-ZCE, Washington, D.C. 20310 (Telephone: 202-894-3434).

Effective date. This regulation is effective December 22, 1975.

WILLIAM R. WRAY,
Major General, USA,
Assistant Chief of Engineers.

This regulation implements DOD Directive 5100.50 and provides general Department of the Army policy on environmental protection. Local limited supplementation of this regulation is permitted, but is not required. If supplements are issued, Army Staff agencies and major Army commands will furnish one copy of each to the Office of the Chief of Engineers, DAEN-ZCE. Other commands will furnish one copy of each to the next higher headquarters.

This regulation supersedes: AR 11-21, November 3, 1967, including all changes; AR 200-2, June 29, 1973; and DA Message DALO-INE 081405Z, January 1974 (U). Subject: Interim change 1 to AR 200-2.

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1974).

AUTHORITY: 10 U.S.C. 3012.

Subpart A—General

§ 650.1 Purpose.

This regulation prescribes policies, as-
signs responsibilities, and establishes
procedures for the protection and pres-
ervation of environmental quality for
the Department of the Army in peace-
time.

§ 650.2 Applicability.

This regulation applies to: (a) All ac-
tive, semiactive and Army Reserve instal-
lations and activities located in the
United States.

(b) National Guard installations and
sites supported with Federally appropri-
ated funds.

(c) Army installations and activities
overseas in accordance with the general
provisions set forth in § 650.5(c).

(d) Contractor activities and lessees
located on real property in the United
States under the jurisdiction of the De-
partment of the Army.

(e) The Civil Works activities under
the jurisdiction of the Secretary of the
Army and implemented by the Chief of
Engineers are excluded from the provi-
sions of this regulation. Separate en-
vironmental regulations promulgated for
Civil Works activities by the Chief of
Engineers are found generally in 33 CFR
Chapter II.

§ 650.3 Explanation of terms.

For the purpose of this regulation, the
following apply:

(a) *Facility*. (AR 310-25.) Facilities in-
clude buildings, installations, structures,
public works, equipment, aircraft, ves-
sels, and other vehicles and property un-
der the control of or constructed or
manufactured for leasing to the Army.

(b) *Environmental quality standard*.
The federal, state and regional quality
standards adopted pursuant to the Clean
Air Act; Water Pollution Control Act,
Noise Control Act and other Federal
statutes established for the protection
and enhancement of environmental qual-
ity.

(c) *Environmental performance specifi-
cations*. Permissible limits of emissions,
discharges, or other values applicable to
activities which would provide for con-

formance to environmental quality
standards to protect health and welfare.

(d) *Environmental pollution*. The con-
dition resulting from the presence of
chemical, physical, or biological forces
which alter the natural environment and
thus adversely affect human health or the
quality of life, biosystems, structures and
equipment, recreational opportunity,
aesthetics, and natural beauty.

(e) *Environmental enhancement*. All
actions taken to improve the environ-
ment, including but not limited to, those
to abate environmental pollution and
meet environmental quality standards
and performance specifications.

(f) *Substantive standards and limita-
tions*. The qualitative and quantitative
pollution control provisions contained in
approved State implementation plans
promulgated under Federal environ-
mental protection statutes.

(g) *United States*. The fifty States, the
District of Columbia, the Commonwealth
of Puerto Rico, the Canal Zone, Guam,
American Samoa, the Virgin Islands, and
the Trust Territory of the Pacific Islands.

(h) *Installation*. A grouping of facili-
ties, located in the same vicinity, which
support particular functions.

(i) *Activity*. A unit, organization or in-
stallation performing a function or mis-
sion.

§ 650.4 Goal.

It is the Department of the Army's goal
to plan, initiate, and carry out all ac-
tions and programs to minimize the ad-
verse effects on the quality of the human
environment without impairment to the
Army's mission. Inherent in this goal
is the requirement to achieve the follow-
ing objectives:

(a) Eliminate the discharge of harm-
ful pollutants produced by Army activi-
ties.

(b) Conserve and wisely use natural
and material resources provided for use
throughout the Army.

(c) Maintain, restore, and enhance
the natural and manmade environment
in terms of its visual attractiveness and
productivity.

(d) Demonstrate initiative and leader-
ship in the formulation and execution of
a program that contributes to the na-
tional goal of preserving and enhancing
the environment.

§ 650.5 Policy.

(a) All Department of Defense agen-
cies are required to—

(1) Comply with the provisions of the
National Environmental Policy Act and
all other Federal environmental laws,
executive orders, and regulations.

(2) Demonstrate leadership in environ-
mental pollution abatement and en-
hancement of the environment consistent
with the security interests of the Nation.

(b) The Department of the Army
policy is that—(1) The achievement of
environmental objectives is an integral
part of the Army mission.

(2) The environmental consequences
of any proposed action will be considered
during the planning process and will be
evaluated along with the technical and
economic factors in the decisionmaking
process.

(3) A detailed environmental impact statement will be prepared and processed in accordance with the National Environmental Policy Act when an environmental assessment reveals that the proposed action may significantly affect the quality of the human environment, is highly environmentally controversial, or is anticipated to evoke litigation based upon environmental issues. "Environmentally controversial" relates to cases in which substantive disagreement, real or purported, exists as to the extent, nature, or effect of the action on the environment.

(4) Insofar as essential mission constraints, permit, all programs and actions will be planned, initiated, or carried out in a manner to minimize polluting or degrading the environment.

(5) All activities subject to Federal, State, or local regulation will be conducted in accordance with applicable standards and monitored to insure compliance with such standards.

(6) All material and energy resources will be procured and used in a manner that will minimize the emission of pollutants and the production of wastes in keeping with the national policies for energy conservation. Wastes generated will be reprocessed or reclaimed for other productive uses to the maximum extent practicable.

(7) An understanding of the urgent need to preserve and restore the natural environment and to conserve material resources and an appreciation of the Army's support of the environmental protection effort will be fostered throughout the Army. Initiative, leadership, and cooperation in achieving these environmental objectives are encouraged of all personnel.

(8) Commanders will cooperate, to the extent practicable, in beneficial community environmental action programs.

(9) Historic and cultural sites, structures, and objects under Army jurisdiction will be preserved, restored, and maintained for the benefit and enjoyment of future generations.

(10) An integrated, multi-use, natural resources, land management program will be conducted for forests and woodlands, fish and wildlife, open space, soil, water, vegetation, outdoor recreation, natural beauty, and increased public access and nonconsumptive utilization on lands under Army jurisdiction within the provisions of AR 405-80 and AR 420-74.

(c) At locations outside the United States, Department of the Army activities will comply with the requirements of the National Environmental Policy Act as set forth in Subpart B of this part and conform at all times to the environmental quality standards of the host country, international agreements, and Status of Forces Agreements. The provisions of this regulation will be used, to the extent applicable, in fulfilling environmental protection requirements in overseas locations.

(d) When, in the interest of national defense, it is not considered practicable to comply with the foregoing policies, the matter will be referred with full particulars to HQDA (DAEN-ZCE), WASH DC 20310.

§ 650.6 Implementing guidance.

Guidance for implementing DA environmental policies are—(a) The environment must be considered as a single, integrated system characterized by the continuous interaction of air, land, and water.

(b) For planning purposes, the environmental system will be regarded as closed; nothing can be thrown away. Wastes must be either recycled and reclaimed or confined and contained so they will not migrate to re-emerge in pollutant form.

(c) Pollutants are potential resources which are out of place.

§ 650.7 Responsibilities.

(a) Army Environmental Council will—

(1) Review and redirect, as necessary, Army environmental policy and programs to insure the Army fulfills its responsibility under the National Environmental Policy Act and other Federal laws and regulations pertaining to pollution control and environmental protection.

(2) Provide policy guidance on those matters which fall within the cognizance of the Council and on such matters as referred for consideration by the Secretariat or the Army Staff.

(b) Army Environmental Committee will assist the Army Environmental Council by—

(1) Proposing new environmental policies and programs as directed by the Council.

(2) Serving as a forum for the exchange of information and ideas related to the formulation of the Army Environmental Program.

(3) Assisting in the resolution of inter-agency problems on environmental matters.

(4) Assisting in the formulation of Army-wide implementing instructions for the Army Environmental Program.

(5) Maintaining surveillance over the ongoing Army Environmental Program and activities.

(6) Reviewing Army Environmental Impact Statements and requests for exemption from Federal and State pollution control standards prior to formal approval by the Assistant Secretary of the Army (Civil Works).

(7) Providing reports and information as directed by the Army Environmental Council.

(c) Chief of Engineers will—

(1) Exercise primary Army Staff responsibility for directing and coordinating environmental activities within the Army.

(2) Recommend such actions as will enable DA to comply with the intent, purposes, and procedures of the National Environmental Policy Act and other Federal legislation relative to environmental quality.

(3) Apply Army environmental policy and direct programs so that applicable environmental and pollution control laws and regulations are observed in the acquisition, construction, operations, and disposal of real property.

(4) Maintain positive surveillance over and report progress of the design and construction of pollution control facilities for Army installations.

(5) Insure that environmental research and development (R&D) projects fully support the environmental program goals.

(6) Promote participation by engineer troop units in the Army's environmental program.

(7) Provide technical and engineering assistance on the pollution control aspects of construction and the Real Property Maintenance Activities.

(8) Prepare an annual Department of the Army Environmental Quality Status Report (§§ 650.9 and 650.11).

(9) Prescribe procedures in Corps of Engineers regulations to carry out the policies for Civil Works programs as found generally in 33 CFR Chapter II. The activities carried out under the Civil Works program are excluded from the provisions of this regulation (AR 200-1).

(10) Conduct, with the assistance of the Army Staff agencies concerned, a continuing review of DA statutory authority, administrative regulations, policies, procedures, and programs (including those relating to loans, grants, contracts, leases, licenses, or permits) to eliminate deficiencies or inconsistencies which might prohibit or limit full compliance with the National Environmental Policy Act of 1969, Executive Orders 11514 and 11752, DoD Instruction 4120.14 and DoD Directives 4150.7, 5030.41, 5100.50, 6050.1 and 6050.2.

(d) The Surgeon General will—

(1) Monitor, evaluate, and disseminate data on health and welfare aspects of environmental pollution within the Department of the Army to insure that the required degree of environmental enhancement is maintained.

(2) Provide health and medical policy guidance in respect to instructions and recommendations received from other Federal agencies assigned responsibility for environmental enhancement at Federal installations.

(3) Provide personnel for conducting field investigations and special studies concerning environmental pollution and recommend enhancement measures required for protection of health.

(4) Provide technical assistance and guidance on the health and environmental aspects of management and disposal of hazardous and toxic materials.

(5) Provide technical consultation to OCE and appropriate commanders on health aspects in the development of environmental enhancement policy and programs.

(e) The Chief of Information will—

(1) Insure that the public is informed of the Army's accomplishments in environmental protection and enhancement.

(2) Develop and execute a command information program designed to stimulate understanding and participation by all Army personnel.

(f) Heads of Army Staff agencies will—

(1) Integrate environmental considerations into regularly assigned staff man-

agement functions and activities to insure compliance with applicable pollution control and environmental protection laws and to demonstrate the Army's leadership in the national effort to preserve the environment.

(2) Insure that the environmental consequences of each proposed project, program regulation, or action for which they are the Army Staff proponent are assessed at an early stage of planning and are made an integral part of the decision-making process. Further, insure that environmental damage is mitigated to the maximum extent feasible.

(g) Major Army commanders will—

(1) Establish an organizational structure to plan, execute, and monitor environmental programs.

(2) Formulate and execute an environmental program which fully supports the achievement of the Army's environmental goals and objectives.

(3) Monitor and control the environmental projects and activities of the subordinate commands and the installations and activities under their jurisdiction.

(4) Review, consolidate, and forward to higher authority, reports from subordinate installations and activities concerning their environmental projects and activities.

(h) Army installation and activity commanders will—

(1) Establish an organizational structure to plan, execute, and monitor environmental programs.

(2) Formulate and execute an environmental program based on the policies set forth in § 650.5 to achieve the Army's environmental goals and objectives.

(3) Cooperate with State and local authorities in formulation and execution of projects and activities required to bring an installation into compliance with applicable Federal, State, and regional pollution control standards.

(4) Integrate environmental protection and preservation activities, to the fullest extent feasible, into the planning and execution of the command's basic mission.

(5) Report, as required, to major commanders on the progress and effectiveness of environmental projects and activities to detect, quantify, and correct pollution sources in accordance with published laws, standards, and guidelines.

§ 650.8 Installation, State and EPA Relationships.

(a) Federal installations are not required to comply with State or local administrative procedures with respect to pollution abatement and control. However, the majority of Federal environmental protection statutes contain provisions that require compliance with Federal, State, Interstate and local substantive standards and limitations.

(b) Permits required by Federal statute, notably the National Pollutant Discharge Elimination System (NPDES) permits, will be obtained from the Environmental Protection Agency in accordance with regulations promulgated pursuant to the Federal Water Pollution

Control Act and the guidance contained in this regulation.

(c) Compliance schedules required by State Implementation plan for air pollution control, reflecting the major increments of progress for projects designed to meet specified standards, will be negotiated with State regulatory authorities and coordinated with the Regional Office of EPA. When established, such compliance schedules are enforceable and may only be changed by renegotiation.

(d) Performance reports as specified in this regulation on the operation of wastewater treatment facilities, sources of air pollutant emissions, oil spills and such other reports as may be directed by DAEN-ZCE will be submitted to EPA regional authorities, as appropriate, who in turn will transmit appropriate information to State authorities. Requests for substantive reports not provided for by this regulation will be promptly referred to HQDA (DAEN-ZCE) Washington, D.C. 20310 for guidance.

(e) Military authorities are to cooperate fully with EPA, State, regional and local authorities requesting access to Army installations for the purpose of inspecting pollution control facilities and activities.

§ 650.9 Annual Status Report on Environmental Programs and Activities (RCS DD-H&E(A)1269).

HQDA (DAEN-ZCE) will prepare the DA Annual Status Report on Environmental Programs and Activities (RCS DD-H&E(A)1269). The DA report will include information on the programs and activities of the major Army commands, the Army Reserve, and the Army National Guard.

(a) Major Army commanders will submit an annual report to DAEN-ZCE not later than February 15, covering actions and activities of the preceding calendar year. The command report should be based on feeder reports from active and semi-active installations. Command and installation reports will include the information outlined in § 650.11 to the extent that it is applicable. Further, the installation report will contain information identified in § 650.11 (c), (d), (e), (f), (g), (h) and (i) for tenant activities and satellited Army Reserve facilities.

(b) The State Adjutants will submit an annual report to the Chief, National Guard Bureau not later than February 1. Negative reports are required. The Chief, National Guard Bureau will consolidate and forward reports containing facilities/sites that are not in compliance with Federal/State standards to HQDA (DAEN-ZCE) WASH DC 20310 not later than February 15. The report will contain the following information:

(1) Status of compliance with Federal/State pollution control standards for those facilities/sites which receive support from Federally appropriated funds. Those not in compliance will be listed separately with the reasons for noncompliance.

(2) Status of programs and actions by facility/site currently ongoing that will

bring the facility/site into compliance with Federal/State pollution control requirements.

(3) Those requirements along with estimated cost needed to bring facilities/sites not addressed in paragraph (b) (2) of this section into compliance with Federal/State pollution control standards.

(4) Significant accomplishments by ARNG units to protect and enhance the environment.

(c) Commander in Chief USAREUR; Commanders, Eighth US Army, and US Army, Japan will submit an annual report covering only those elements of § 650.11 which may be applicable. This should include an analysis of the scope of host nation environmental quality laws and regulations, their impact on US Army installations and activities, status of compliance with specific host nation requirements, and a summary of plans to correct any deficiencies.

§ 650.10 Environmental Quality Award.

(a) *Secretary of Defense award.* The Secretary of Defense presents an annual award to the Department of Defense installation which conducted the best environmental quality program during the preceding calendar year and give recognition to other installations having particularly noteworthy programs. Department of the Army nominees will be selected by the Army Environmental Council from the list of Active Army installations nominated to receive the Secretary of the Army Award.

(b) *Secretary of the Army Award.* The Secretary of the Army will present an Environmental Quality Award to the Army installation that evidences the most noteworthy contribution to protecting and preserving the quality of the environment. The basis of selection will be the annual Status Report on Environmental Programs and Activities prepared by an installation and used as a feeder report by the major command to its overall report (RCS DD-H&E(A)1269, § 650.9).

(c) *Nominating instructions.* (1) Army commanders may nominate active or semiactive installations or separate and distinct geographically identifiable activities (e.g., USAMC depot activity and subinstallations) as candidate for the Environmental Quality Award, not to exceed the number listed below:

Command:	Number of nominees
US Army Training and Doctrine Command	3
US Army Forces Command	3
US Army Materiel Command	3
US Army Health Services Command	1
US Army Military District of Washington	1
US Army Security Agency	1
US Army Communications Command	1

(2) The list of nominations will be accompanied by six copies of each installation annual report and submitted to HQDA (DAEN-ZCE) WASH DC 20310 by March 31. Reports will be typewritten or printed, fastened or bound in folders

approximately 9 x 11 inches and narrative in style covering the topics in § 650.11.

§ 650.11 Reporting requirements.

The annual status reports required under the provisions of § 650.9 (RCS DD-H&E(A) 1269) will be prepared, using the following format. Each topic will be addressed in sufficient detail to give the next higher headquarters an understanding of the overall environmental program, specific accomplishments, problem areas, and planned new initiatives.

(a) Environmental protection organization.

(1) Organizational structure for environmental matters.

(2) Staffing and management procedures.

(b) National Environmental Policy Act implementation.

(1) Summary of environmental assessments made.

(2) Environmental impact statements prepared and their status.

(c) Air pollution control.

(1) Status of compliance with applicable air quality standards.

(2) Status of corrective projects.

(3) Summary of litigation actions, if any.

(d) Water pollution control.

(1) Status of National Pollutant Discharge Elimination System (NPDES) permits requested and issued.

(2) Status of compliance with applicable water quality standards and permit provisions.

(3) Status of corrective projects.

(4) Summary of litigation actions, if any.

(e) Noise pollution control.

(1) Summary of major sources.

(2) Status of corrective measures.

(3) Summary of complaints/litigation, if any.

(f) Radiation pollution control.

(1) Summary of ionizing sources.

(2) Status of protective measures.

(g) Solid waste management.

(1) Summary of waste disposal operations.

(2) Waste recycling (equipment installed and in use, quantities and types of materials recycled, funds derived from sale of waste materials and use made of such funds).

(h) Toxic and hazardous materials management.

(1) Identification of significant toxic materials being controlled.

(2) Summary of types and protective measures for control of oil spills, disposal of toxic chemicals, etc.

(3) Identification of unique problems.

(i) Land management.

(1) Summary of conservation activities (forest, fish and wildlife management, etc.).

(2) Summary of historical and archeological sites and facilities and related preservation activities.

(3) Summary of installation attractiveness program and activities.

(j) Environmental research programs (if applicable).

(1) Summary of ongoing environmental research activities by pollution control media (air, water, etc.).

(2) Summary of technology-application activities.

(3) Identification of new research requirements.

(k) Environmental education, training and information programs.

(1) Status of individual and unit education training activities.

(2) Summary of environmental protection courses given or attended (TRA DOC Report will include courses and student attendance at courses in Army School System).

(3) Summary of public information activities.

(l) Environmental enhancement activities.

(1) Summary of environmental enhancement activities and projects conducted in support of Johnny Horizon, Keep America Beautiful, Defense Community Service Program, etc. (includes activities by active and Reserve units).

§ 650.12 Executive Order 11752.

Figure 1-1 is the Presidential Executive Order dated December 17, 1973¹ which sets forth the policy and standards for the prevention, control, and abatement of environmental pollution at DA installations.

Subpart B—Environmental Considerations in DA Actions

GENERAL

§ 650.21 Purpose.

This chapter states Department of the Army policy, assigns responsibilities and establishes procedures for assessing the environmental impact of Department of the Army actions on the quality of the human environment as required by Pub. L. 91-190, "National Environmental Policy Act of 1969," January 1, 1970; and implements DOD Directive 6050.1, Environmental Considerations in DOD Actions, March 19, 1974.

§ 650.22 Background.

(a) Section 102(2)(C) of the National Environmental Policy Act of 1969 (NEPA), Pub. L. 91-190, requires that a detailed environmental impact statement (EIS) be included in "every recommendation or report on proposals for legislation and other major Federal actions significantly affecting the quality of the human environment".

(b) Executive Order 11514, March 7, 1970, Protection and Enhancement of Environmental Quality, directs the Council on Environmental Quality (CEQ) to issue guidelines for Federal agencies on the preparation of the environmental impact statements required by section 102(2)(C) of NEPA.

(c) On August 1, 1973, the CEQ published revised guidelines for the preparation of EIS's. These guidelines contain general guidance for determining when an EIS is required.

¹ 38 FR 34793, December 19, 1973; 3A CFR, 1973 Comp., p. 240.

§ 650.23 Applicability.

(a) The provisions of this chapter apply to Headquarters Department of the Army and all Army commands and agencies (hereafter referred to as "DA agencies") and are effective immediately. The civil works functions of the Corps of Engineers are excluded from complying with these procedures.

(b) The provisions of this regulation apply to DA actions worldwide except for—

(1) Multinational actions (such as NATO) in which the DA is not the primary decisionmaking authority.

(2) Combat or combat-related activities in a combat zone, and

(3) Other emergency activities.

(c) In countries or areas not under US control or administration, DA actions, with the exception of those noted above, are subject to the environmental laws, regulations and stipulations of the foreign government concerned and whatever agreements may exist between the United States and the country involved (Status of Forces Agreements).

§ 650.24 Scope.

(a) General.—The legislative history of the National Environmental Policy Act of 1969 and the guidelines of the Council on Environmental Quality define actions which are to be assessed for their environmental impact. They include, but are not limited to, the following:

(1) Recommendations or favorable report relating to legislation, including that for appropriations.

(2) Policies, regulations and procedure-making.

(3) New and continued projects and program activities—

(i) Directly undertaken by Federal agencies,

(ii) Supported in whole or in part through Federal contracts, grants, subsidies, loans, or other forms of funding assistance; and

(iii) Involving a Federal lease, permit, license, certificate, or other entitlement for use.

(b) Proposals for legislation, annual authorization requests, and favorable reports on legislation.

(1) Legislative proposals other than authorization and appropriation acts. Prior to preparing a legislative proposal, the proponent agency shall assess the environmental consequences of the proposal using the factors in this chapter. If it is determined that the proposal would significantly affect the quality of the human environment, an EIS is required and shall be submitted with the proposal.

(2) Annual budget requests. Prior to submitting annual budget requests, the environmental consequences of each line item requested for inclusion therein shall be assessed by the proponent of the action using as a minimum the factors in this chapter. For those items which are identified as major actions having a significant effect on the quality of the human environment, or which are controversial, a draft environmental impact statement shall be prepared which will

accompany the budget request through channels. Additional guidance is contained in the Budget Guidance Manual DOD 7110.1-M and DOD Instruction 7040.4 (Military Construction Authorization and Appropriation).

(3) Favorable reports on legislation.

(i) Where the Department of the Army is not the Federal agency that has primary responsibility for a legislative proposal, no EIS is required from the Army. If it is not clear from the legislative item whether the Army is the primary Federal agency responsible for the subject matter involved in the legislative item, advice should be sought from COE, DA (DAEN-ZCE).

(ii) Where the Army is the Federal agency that has primary responsibility for the subject matter involved in the legislative item, the proponent agency responsible for preparing the Army report on the item shall assess the environmental consequences of the proposal, using the factors in this chapter. If the environmental impact assessment indicates that the proposal would significantly affect the quality of the human environment, an EIS is required and should accompany the report.

(c) Policy, regulations, and procedure-making.

(1) Environmental Impact Assessments (EIA) will be made for publications including but not limited to, directives, instructions, regulations, manuals, or major policy issuances of the Department of the Army and its commands and agencies.

(2) The publication proponent, at the appropriate command level, shall assess the environmental consequences for any proposed publication, using the procedure set forth herein. If it is determined that actions required by the publication will significantly affect the environment, an EIS is required unless the publication is an implementation of a publication from OSD or a higher Army command or agency and the environmental consequence will not basically change from those already presented in an EIS prepared for the basic publication. In addition, appropriate environmental requirements will be addressed in these publications.

(3) Any Department of the Army implementation of a Federal law, of a publication of a Federal agency outside of the Department of the Army, or subsequent action taken based on the law or regulation that will significantly affect the quality of the environment, will require an EIS "unless a statement was prepared on the original publication" and the environmental consequences of the Army action will not significantly deviate from those already presented in the basic EIS.

(d) (1) Most activities take place on the typical installation on a routine or programmed basis. Activities which are of a continuing nature or are projected to take place in the foreseeable future, are to be analyzed to produce an overall installation EIA. Projections on future activities at an installation can be based on the installation mission, Army Sta-

tioning and Installation Plan, ASIP, and the installation master plan. The resulting comprehensive environmental impact assessment would eliminate the need for numerous smaller scope assessments. It would remain valid until there is a major change in the installation mission, training requirements, logistic and administrative support, master plan, ASIP, applicable pollution control standards or new information becomes available on local ecological or environmental conditions that would invalidate an earlier assessment. On the basis of the overall installation environmental impact assessment, an EIS would be prepared when it is determined that the current and/or projected operations at the installation will have significant impact on the environment. DA projects and activities are generally of the following types:

- (i) Construction
- (ii) Repair and maintenance of real property
- (iii) Procurement
- (iv) Real estate acquisition, disposal or outleasing
- (v) Training
- (vi) Industrial operations
- (vii) Research, development, test and evaluation
- (viii) Administrative support
- (ix) Personnel
- (x) Resources recycling and conservation

(2) Projects or actions which cannot be appropriately incorporated in the installation EIA because adequate definitive information is not available will require an individual EIA or EIS.

(3) An EIA for each Army installation worldwide will be completed at the earliest practicable date.

(4) Special consideration must also be given and EIS's prepared, if appropriate, by proponents of those major procurement actions that are not normally accomplished at the installation level. Examples would include the procurement of a new combat vehicle, communications system, weapons systems or major fuel supplies. Those aspects of the actions to be included in an EIA, or an EIS if needed, are the environmental impact of any research and development activities, testing operations, manufacture, transportation, maintenance, storage, use during training and disposal of the materiel being procured. In essence, the EIS covers the life cycle of the materiel. The impact of employing such equipments in combat operations is not required in the EIA or the EIS.

§ 650.25 Policies and objectives.

(a) It is the continuing policy of the Department of the Army, as a trustee of the environment, to demonstrate leadership and carry out its mission of national security in a manner consistent with national environmental standards, laws and policies. All practical means and measures will be used to minimize or avoid adverse environmental consequences and in attaining the objectives of—

(1) Providing a safe, healthful, productive, and esthetically and culturally pleasing surrounding.

(2) Attaining the widest range of beneficial uses of the environment without degradation, risk to health or safety or other undesirable and unintended consequences.

(3) Preserving important historic, cultural, and national aspects of our national heritage and maintaining where possible an environment which supports diversity and variety of individual choice.

(4) Achieving a balance between resources use and development within the sustained carrying capacity of the ecosystem involved.

(5) Enhancing the quality of renewable natural resources and approaching the maximum attainable recycling of depletable resources.

(b) Toward this end, DA agencies shall—

(1) Assess at the earliest practical stage in the planning process and in all instances prior to the first significant point of decision, the environmental consequences of proposed actions.

(2) Review those continuing actions initiated prior to enactment of NEPA, for which the environmental consequences have not been assessed and ensure that any remaining actions are consistent with the provisions of this chapter.

(3) Utilize a systematic interdisciplinary approach in planning and decision-making.

(4) In Army planning and decision-making, consider environmental values and amenities concurrently with economic and technical considerations.

(5) Prepare and process under the criteria and procedures set forth herein a detailed EIS on every recommendation or report on proposals for legislative actions and other major defense actions which are expected to be environmentally controversial or could cause a significant effect on the quality of the human environment.

(6) Study, develop and describe appropriate alternatives to the recommended courses of action in any proposal which involves unresolved conflicts concerning alternative uses of available resources.

(7) Recognize the worldwide and long-range character of environmental problems and, where consistent with national security requirements and the foreign policy of the United States, lend appropriate support to initiatives, resolutions and programs designed to maximize international cooperation in anticipating and preventing a decline in the quality of the world human environment.

(8) Refrain from taking any significant implementing steps on administrative actions until 90 days have elapsed after notification has been made in the Federal Register of filing the draft environmental statement and 30 days have elapsed after notification has been made in the Federal Register of filing the final statement, except as provided elsewhere in this chapter. The time relationships for the preparation and processing an EIS are shown in figure 2-1.

(9) On occasion, laws other than the National Environmental Policy Act require the Department of the Army to

gain approval of another Federal agency before commencing certain types of actions that may have environmental consequences. Compliance with the requirements of such laws does not relieve the responsible official from preparing and processing an EIS, if the proposed action is a major action that would significantly affect the quality of the human environment. In this connection, compliance with Pub. L. 91-190 is applicable unless existing law applicable to a specific action or activity expressly prohibits or makes compliance impossible. However, insofar as practicable, the draft EIS format should be used in complying with other laws to minimize duplication of efforts.

§ 650.26 Responsibilities.

(a) The Assistant Secretary of the Army (Civil Works) (ASA-CW) shall serve as the Secretary of the Army's responsible official for National Environmental Policy Act of 1969 (NEPA) matter.

(b) The Chief of Engineers, DA, exercises primary staff responsibility for coordinating and monitoring NEPA activities within the Army and shall—

(1) Provide assistance and advice on the preparation/processing of EIA's and EIS's.

(2) Designate a single agency or lead office having the responsibility for preparing and processing EIS's and EIA's when more than one DA agency is involved.

(3) Review and comment on draft EIS's submitted by other DOD components and other Federal agencies.

(4) Monitor issuances of the DA which have environmental implications to determine if EIS's are required and to insure that environmental considerations are built into the decisionmaking process.

(5) Maintain liaison with CEQ, the Environmental Protection Agency (EPA), the Office of Management and Budget (OMB), and other Federal agencies and State and local groups, with respect to the environmental policies affecting the Department of the Army.

(6) Maintain a current quarterly DA consolidated list of actions for which EIS's have been prepared or are under preparation, and a list of negative declarations.

(7) Retain a copy of each draft and final EIS prepared within the Department of the Army until the project or activity is completed.

(8) Direct the preparation of EIS's as appropriate.

(9) Coordinate on the technical aspects of EIS's submitted to HQDA for review and comment within those areas of assigned staff cognizance and technical capability and,

(10) For those actions or activities for which he is normally responsible, fulfill the requirements as defined in paragraph c below for HQDA staff agencies.

(c) Headquarters Department of the Army staff agencies shall—

(1) Apply the policies set forth in this chapter on the application of NEPA to continuing and proposed programs and projects within their staff cognizance.

(2) Publish internal procedures for the preparation and review of EIA's and EIS's for programs or projects within assigned areas of responsibility and insure that EIS's, as may be required, are prepared and processed.

(3) Insure that all regulations, directives, instructions, and other major policy publications are reviewed for environmental consequences, and, when such consequences are significant, withhold publication or issuance until the requirements concerning an EIS have been fulfilled.

(4) Coordinate, as appropriate, the preparation of EIS's with other elements of the Department of the Army as well as with the OCE, Environmental Office.

(5) Access continuing and proposed programs and actions for their environmental consequences and initiate the preparation of EIS's where required.

(6) Designate, maintain and report the identity to DAEN-ZCE of the agency's single point of contact for environmental matters.

(7) Prepare and maintain a list of administrative actions for which EIS's have been prepared or are being prepared, and compile the report of negative declarations required by § 650.27(a).

(8) As requested, assist in the review of EIA's and EIS's prepared by other Army agencies and EIS's prepared by non-Army agencies.

(9) Coordinate existing and proposed directives, instructions, regulations and major policy publications that have environmental implications with OCE (DAEN-ZCE).

(10) Determine, in accordance with the requirements contained in § 650.32, if a public hearing is necessary for the proposed action and assign the responsibility for the hearing to an appropriate office or agency.

(d) The Judge Advocate General shall provide legal advice and assistance, as requested, in the interpretation of applicable laws and regulations related to environmental matters and handle litigation before the various courts and regulatory bodies except for the civil works program of the Chief of Engineers and the other specific responsibilities assigned herein to the Chief of Engineers.

(e) The Comptroller of the Army will establish necessary procedures to ensure compliance with the requirements for environmental exhibits and data in support of annual budget request. Additionally, for those actions or activities for which the COA is normally responsible, the COA will fulfill the requirements defined in paragraph (c) of this section for all HQDA staff agencies.

(f) The Surgeon General is responsible for coordinating the health, welfare and environmental aspects of proposed environmental impact statements submitted to HQDA, and for preparing assessments or proposed EIS's required for actions and programs for which he is the proponent. Army commands, installations and agencies are encouraged to draw upon the special expertise, within those areas of assigned staff cognizance and technical capability, which are avail-

able within the medical department. The Surgeon General will, upon request, furnish assistance and advice in the preparation of those aspects of EIS's which involve health, welfare or environmental effects or which have monitoring implications.

(g) The Adjutant General will institute administrative procedures to preclude the publication of any policy letter, regulation or other DA issuance unless the proponent staff agency stated in writing that actions associated with implementing the publication will have no significant impact on the environment or a final EIS has been prepared and published in the Federal Register and the required time frame has passed.

(h) Major field commanders are responsible for monitoring actions and programs proposed for accomplishment within their commands or directed by higher headquarters, and assuring that appropriate EIA's or EIS's are prepared and, if necessary, forwarded to HQDA.

(i) All Army commands and agencies will—

(1) Establish internal procedures for assessing environmental consequences for continuing and proposed programs and actions for which they are the proponent agency, in accordance with the policies contained herein, and for the preparation, coordination within their technical staffs, and processing of EIA's and EIS's required for actions within their agencies.

(2) Establish internal procedures to insure that all regulations, directives, instructions, and other major policy publications for which they are the proponent agency or which implement issuances by higher headquarters, are evaluated for environmental consequences prior to publication.

(3) Establish a continuing program to assure that sufficient personnel within the command or agency are properly trained in the requirements of NEPA and the provisions of this regulation.

REPORTS

§ 650.27 Reports—RCS DD-H&E (QR) 1326, RCS DD-H&E (AR) 1327.

(a) The Department of the Army is required to report to the OSD at least quarterly those actions on which EIS's have been prepared, those under preparation, and in certain situations when it has been determined that an EIS is not required. In the latter instance, when it has been decided that an EIS is not required for a project or activity of a type described in § 650.29(b), a statement (negative declaration) must be prepared for the public record briefly setting forth this decision and the reasons for the determination. The negative declaration should be prepared and supported by an EIA in the EIS format (fig. 2-4) and kept with the project or activity file subject to forwarding to HQDA upon request. Major commands will submit in quadruplicate to HQDA (ATTN: DAEN-ZCE) a report recovering the actions discussed above and in the format shown at figure 2-2. Report will be submitted within ten (10) days follow-

ing the end of the quarter. The first report will cover the period September 1, 1973-June 30, 1974. Subsequent reports will be submitted on quarterly intervals.

(b) Major commands and HQDA staff elements will maintain cost estimates of the direct costs which are incurred solely for the purpose of preparing and processing EIS's. These estimates must be available upon request and will be identified as follows:

- (1) Salaries of military and civilian personnel.
- (2) Associated travel costs.
- (3) Research costs directly related to the draft EIS's.
- (4) Contract and consultant costs directly related.
- (5) Administrative costs, and
- (6) Costs of public hearings.
- (c) Reports discussed in paragraph a above will be submitted within ten (10) days following the end of the quarter. The initial report covers the period July 1-September 30, 1974. This reporting requirement has been assigned Report Control Symbol DD-H&E (QR) 1326.
- (d) EIS's prepared in accordance with this regulation have been assigned Reports Control Symbol DD-H&E (AR) 1327.

ENVIRONMENTAL IMPACT ASSESSMENTS AND ENVIRONMENTAL IMPACT STATEMENTS

§ 650.28 General.

(a) Both the EIA and the EIS are analyses of ongoing activities or proposed plans and programs and must include systematic analyses of the environmental impact (adverse and beneficial) on land, air and water. The purpose is to identify—

- (1) The environmental impact of the proposed/ongoing action.
- (2) Any adverse environmental effects which cannot be avoided.
- (3) Alternatives to the proposed action.
- (4) The relationship between local short-term uses of man's environment and the maintenance and enhancement of long-term productivity.
- (5) Any irreversible and irretrievable commitments of resources which would be involved in the proposed action.

(b) Environmental Impact Assessments.

(1) The preparation of an EIA is the initial step of an environmental analysis. Its purpose is to identify whether the action (ongoing or proposed) is major and to determine if the action will have significant impact on the quality of the human environment. Further, it is to serve as the basis for determining if an EIS will be required.

(2) For the many routine actions which are largely administrative in nature, require a minimal expenditure of resources and are of generally limited scope, the EIA can be a conscientious mental evaluation with that action reported in the project or activity file. However, where documentation is required in support of a project or action, the documentation will contain a statement that an EIA has been made and

that no significant environmental impact will result.

(3) For those actions not clearly identified to fall in the category outlined in paragraph (b) (2) of this section, a written EIA will be prepared. The EIA will follow the format specified for an EIS as outlined in § 650.31, except that alternative courses of action need not be analyzed when it is determined that only minimal environmental impact will result from pursuing the preferred course of action selected primarily for economic, technical or mission effectiveness reasons. (However, this exception does not absolve those responsible for implementing the action from taking every reasonable measure to minimize or mitigate any environmental impact that is inherent in the action.)

(4) In concluding any EIA, the preparer will make a specific statement on each of the following:

- (i) The action is or is not major.
- (ii) A significant environmental impact will or will not result from the action.
- (iii) The implementation of the plan or action will or will not be environmentally controversial.

(5) The written EIA will be made available for consideration and approval by the principal decisionmaker at the level where the EIA is prepared. For those actions requiring approval of a higher level of authority, the EIA will be forwarded with the request for approval of the action so that the approving authority will be knowledgeable of the environmental considerations when approving the action. Each EIA will have a cover sheet as shown in figure 2-3, signed by appropriate decisionmaking officials and the EIA will be retained on file with the agency until the action or project is completed. However, if it is determined that the action is major and will have a significant effect on the environment, an EIS will be prepared and forwarded through command channels to HQDA as specified in §§ 650.33, 650.34 and 650.35.

§ 650.29 Major actions significantly affecting the quality of the human environment (MASAQHE).

(a) General. (1) It is impossible to list categorically all DA projects or activities that are "Major Federal actions significantly affecting the quality of the human environment." In making a judgement in a particular case, it will be necessary for the proponent of the action to assess the expected environmental effects of the action in conjunction with the intent of NEPA as implemented by the CEQ and DOD. It is essential that all the environmental effects of an action be assessed, whether those effects are adverse or beneficial. In determining whether or not the effects of an action are significant, the proponent must evaluate the nature and degree of all effects on the environment. These may be significant even though the net environmental effect of the proposed action may be beneficial.

(2) DA agencies shall insure that the environmental consequences of a proposed action are fully assessed during the

decisionmaking process. If the EIA indicates that the decision will either affect the environment on a large geographical scale or have a serious environmental effect in a more restricted geographical area, the proposed action shall be considered a Major Action Significantly Affecting the Quality of the Human Environment (MASAQHE), and the decision shall be deferred until Federal agencies possessing special expertise or persons affected by the environmental effects of the decision have had an opportunity to present their view. It is necessary to consider not only the degree of effect on the environment but also the scope of the action and the potential effect of the action on other persons. The following examples are provided to assist in defining MASAQHE.

(i) An action that will influence subactivities in many subordinate units, and the subactivities will each affect the environment, is probably a MASAQHE even though a single subactivity by itself may not be in that category. For example, a limited maneuver or training exercise by small elements of a command might not be a major action, nor would it normally affect the environment significantly. However, if a major command or HQDA intended to publish a regulation that includes provisions prescribing the environmental considerations that were to be given to the planning of all training exercises or maneuvers of the command for an indefinite period of time, then it might be expected that such a regulation would have a significant effect on the quality of the environment because it would govern numerous activities which individually would have some effect on the environment. Thus the regulation should be construed to be a MASAQHE.

(ii) A major realignment plan of the Army involving numerous installations or activities could be a MASAQHE. In this instance, the impact at one installation may be small but because of the numerous installations involved, the overall plan impact may be significant, especially insofar as the secondary impacts are concerned. Although the secondary socioeconomic impacts are generally insufficient by themselves to require an EIS, these factors should be included in the event that an EIS is required.

(iii) An example of an action that should be classified as a MASAQHE because of a localized effect is an extremely noisy activity to be conducted near a residential area, where the resulting noise might seriously affect the comfort of residents of the area over an extended period. In keeping with the intent of NEPA, no decision should be made to take any action until those residents have been given an opportunity to present their views and their views have been carefully considered. Ongoing noisy activities should be given the same type study and review as given to planned or proposed activities.

(b) The types of actions listed below require close environmental scrutiny because of the possibility that they may

either affect the quality of the environment or create environmental controversy. It is desirable in such cases to have a complete presentation of the environmental aspects of the proposed action available for any interested party. For this reason, consideration should be given to documenting the environmental effects of the following types of actions in writing. (The written EIA need not be elaborate for those actions determined to be minor and for which prudent non-biased judgment would readily determine that the impact would not be significant. However, negative declarations must be supported by written EIA's which generally meet the EIS format requirements.)

(1) Development or purchase of a new type of aircraft, ship or vehicle.

(2) Development or purchase of a new weapon system.

(3) Real estate acquisition, disposal and outgrants.

(4) Major construction projects.

(5) New installations (bases, posts, etc.) or continued operation of major existing installations or ranges.

(6) Production, storage, transportation, testing or disposal of lethal chemical munitions, and pesticides.

(7) Mission changes and troop deployments which precipitate long-term population increases or decreases in any area with special attention to the secondary impacts which may cause indirect environment impact.

(8) Large quarrying, or earth-moving operations.

(9) Constructing or installing fences of other barriers that might prevent significant migration or free movement of wildlife.

(10) Proposed construction of new sanitary landfills, incinerators and sewage treatment plants.

(11) Existing or changes to master plans.

(12) Proposed construction or acquisition of new family housing.

(13) Dredging, and other similar activities in the water.

(14) Training exercises on or off Federal property, where significant environmental damages might occur regardless of unit sizes.

(15) Opening areas that were previously closed to the public or closing or limiting of areas that previously were open to public use, such as roads or recreational areas.

(16) Proposed construction on flood plains or construction that may cause increased flooding erosion or sedimentation, activities on wetlands or proposals which could alter the wetlands environmental value.

(17) Channelization of streams, diversion or impoundment of water.

(18) Disposal of significant quantities of POL waste products.

(19) Proposed construction of roads, transmission lines or pipelines.

(20) New, revised, or established regulations, directives or policy guidance concerning activities that could have an environmental effect. Regulations, directives, or policy guidance which limit any

of the alternative means of performing the actions on this list.

(21) Any action which, because of real potential or purported adverse environmental consequences, is a subject of controversy among people who will be affected by the action, or which, although not the subject of controversy, is likely to create controversy when the proposed action becomes known by the public.

(c) Even though a written EIA supports the conclusion that an action is not a MASAQHE, an EIS is to be written on a proposed action which is highly controversial because of environmental aspects. The EIS should be based on the information contained in the EIA.

§ 650.30 Environmental effects.

The proponent of the action should consider all aspects of the action to determine if it will interfere unreasonably with the living conditions of man, wildlife, or marine life, or with any ecosystems on an immediate, short-range or long-range basis. Examples of some factors that may be applicable are—

(a) *Effects on water quality to include—*

(1) Surface resources.

(2) Subsurface resources.

(3) Water supply treatment.

(4) Sewage treatment.

(5) Regulatory standards (water quality, effluent, toxic or hazardous substances, sedimentation, temperature alteration, etc.)

(b) *Effects on air quality to include—*

(1) Fixed pollution sources (heating plants).

(2) Mobile pollution sources (vehicles, aircraft).

(3) Regulatory standards (ambient, point source, emissions of toxic or hazardous substances or significant amounts of other pollutants).

(c) *Effects of noise to include—*

(1) Continuous (background) noise sources.

(2) Impact noises (weapons firing).

(3) Regulatory standards (worker safety, community noise).

(d) *Effects of solid waste to include—*

(1) Types and sources.

(2) Disposal methods.

(3) Regulatory standards (landfill, incinerator).

(e) *Effects of hazardous and toxic substances to include—*

(1) Types and sources (explosives, chemicals, etc.).

(2) Disposal methods.

(3) Regulatory standards.

(f) *Effects on energy resources to include—*

(1) Types used.

(2) Expansion capability.

(g) *Land use.*

(1) Current land usage patterns (on and off installation) including population density, neighborhood character, zoning, aesthetics, recreation and,

(2) Erosion and flooding controls.

(h) *Ecology.*

(1) Aquatic life.

(2) Animal life.

(i) *Species.*

(ii) *Population.*

(3) Endangered species.

(4) Wetlands.

(5) Vegetation.

(i) Open space.

(ii) Forrested areas.

(6) Management.

(i) *Cultural quality.*

(1) Archeological sites and remains.

(2) Historical structures and sites.

(3) Natural sites and remains.

(j) *Preservation.*

(1) Resources recycling.

(2) Conservation measures.

PREPARATION OF ENVIRONMENTAL IMPACT STATEMENT

§ 650.31 General.

The following directions for the preparation of EIS's will be followed to assure general uniformity in preparing statements. DA agencies will institute procedures for identifying definite decision points for determining the need to formally submit an environmental statement. In developing and obtaining the necessary information to prepare an Environmental Impact Statement, early consultation within DA and with other Federal, State and local governmental and private organizations is encouraged. The statement is to be based on the EIA and should—

(a) Carefully detail environmental impacts, alternatives, and implications of proposed projects and activities and should provide reviewers insight into the particulars associated with the action. Reviewers will expect the statements to be a valid source of information on the proposed action, as well as a reflection of how the proponent views environmental factors and seeks to accommodate them. Since the statements are to be made available to the public it must be assumed that they will receive careful scrutiny.

(b) Systematically present the environmental impacts and sufficiently described the physical and environmental aspects to permit independent appraisal and evaluation of the proposal. It should be simple and concise, yet include all pertinent facts. Length will depend upon the particular proposal and the nature of its impacts.

(c) Not be limited to ultimate conclusions, but contain a thorough evaluation of all factors affecting the potential environmental impact of the proposal that will reasonably justify the conclusions presented.

(d) Be a complete and objective appraisal of the beneficial and adverse environmental effects of available alternatives, rather than a justification for the proposal. In no case should adverse effects, either real or potential, be ignored or slighted in an attempt to justify an action previously recommended. Similarly, care must be taken to avoid overstating favorable effects.

(e) Indicate at appropriate points in the text supporting and related underlying studies, reports and other information obtained and considered in preparing the EIS including applicable cost benefit analyses. Requirements by other

statutes such as the Fish and Wildlife Conservation Act, and the National Historic Preservation Act should be combined with the EIS. Care should be taken to insure that the EIS remains an essentially self-contained document, capable of being understood by the reader without the need for undue cross-reference. If the case references are not easily accessible, the statement should indicate how the information may be obtained.

§ 650.32 Content of the EIS.

The EIS statement must fulfill and satisfy, to the fullest extent possible at the time the draft is prepared, the requirements established for a final EIS. The body of the EIS shall contain the following separable sections (see fig. 2-4) with the length of each being adequate to identify and develop the required information.

(a) *Introduction*—(1) *Project description*. A description of a proposed action, a statement of its purposes, and a description of the environment affected, including information summary technical data, and maps and diagrams where relevant, adequate to permit an assessment of potential environmental impact by commenting agencies and the public. Highly technical and specialized analyses and data should be avoided in the body of the draft impact statement. Such materials should be attached as appendixes with adequate bibliographic references.

(2) *Existing environment of proposed site*. The EIS should succinctly describe the environment of the area affected as it exists prior to a proposed action, including that of other Federal activities in the area affected by the proposed action. Because the interrelationships and cumulative environmental impacts of the proposed action are to be identified later in the EIS, the amount of detail provided in such descriptions should be commensurate with the extent and expected impact of the action, and with the amount of information required at the particular level of decisionmaking (planning, feasibility, design, etc.). In order to insure accurate descriptions and EIS, site visits should be made where feasible. The proponent agency or command should also take care to identify, as appropriate, population and growth characteristics of the affected area and any population and growth assumptions used to justify the project or program or to determine secondary population and growth impacts resulting from the proposed action and its alternatives. In discussing these population aspects, consideration should be given to using the rates of growth in the region of the project contained in the projection compiled for the Water Resources Council by the Bureau of Economic Analyses of the Department of Commerce and the Economic Research Service of the Department of Agriculture (the "OBERS" projection). In any event, it is essential that the sources of data used to identify, quantify or evaluate any and all environmental consequences be expressly noted.

(b) *Relationship of proposed action to land use plans, policies and controls for the affected area*. This requires a discussion of how the proposed action may conform or conflict with the objectives and specific terms of approved or proposed Federal, State, and local land use plans, policies, and controls, if any, for the area affected including those developed in response to the Clean Air Act or The Federal Water Pollution Control Act Amendments of 1972. Where a conflict or inconsistency exists, the EIS should describe the extent to which the DA agency has reconciled its proposed action with the plan, policy or control, and the reasons why they decided to proceed not withstanding the absence of full reconciliation.

(c) *The probable impact of the proposed action on the environment*. (1) This analysis is to include the positive and negative effects of the proposed action as it affects the concerned local and/or State environment, but where applicable, may affect the national and international (Mexico, Canada and other countries) environment. The attention given to different environmental factors will vary according to the nature, scale, and location of proposed actions. Among factors to consider should be the potential effect of the action on such aspects of the environment as those listed in § 650.30. Primary attention should be given in the statement to discussing those factors most evidently impacted by the proposed action.

(2) Secondary or indirect, as well as primary or direct, consequences for the environment should be included in the analysis. Many major Army actions, in particular those that involve the construction of new installations or the expansion of existing installations stimulate or induce secondary effects, in the form of associated investments and changed patterns of social and economic activities outside an installation. Such secondary effects, through their impacts on existing community facilities and activities through inducing new facilities and activities, or through changes in natural conditions, may often be even more substantial than the primary effects of the original action itself. For example, the effects of the proposed action on population and growth impacts should be estimated if expected to be significant and an evaluation made of the effect of any possible change in population patterns or growth upon the resource base, including land use, water, and public services, of the area in question.

(d) *Alternatives*. Alternatives to the proposed action, including, where relevant, those not within the existing authority of the Department of the Army. A rigorous exploration and objective evaluation of the environmental impacts of all reasonable alternative actions, particularly those that might enhance environmental quality or avoid some or all of the adverse environmental effects, is essential. Sufficient analysis of such alternatives and their environmental benefits, costs and risks should accompany

the proposed action through the agency review process in order not to foreclose prematurely options which might enhance environmental quality or have less detrimental effects. Examples of such alternatives include: The alternative of taking no action or of postponing action pending further study; alternatives requiring actions of a significantly different nature which would provide similar benefits with different environmental impacts; alternatives related to different designs or details of the proposed action which would present different environmental impacts (e.g., cooling ponds vs. cooling towers for a power plant or alternatives that will significantly conserve energy); alternative measures to provide for compensation of fish and wildlife losses, including the acquisition of land, waters, and interests therein. In a proposed draft EIS, the proponent may decide to favor an alternative or reserve judgment until comments are received from relevant commenting entities. In each case, the analysis should be sufficiently detailed to reveal the agency's comparative evaluation of the environmental benefits, costs and risks of the proposed action and each reasonable alternative. Where an existing EIS already contains such an analysis, its treatment of alternatives may be incorporated in the new EIS provided that such treatment is current and relevant to the precise purpose of the newly proposed action.

(e) *Any probable adverse environmental effects which cannot be avoided should the proposal be implemented*. This should be a brief section summarizing in one place those effects that are adverse and unavoidable under the proposed action. Included for purposes of contrast should be a clear statement of how other avoidable adverse effects will be mitigated.

(f) *The relationship between local short-term use of man's environment and the maintenance and enhancement of long-term productivity*. This section should contain a brief discussion of the extent to which the proposed action involved tradeoffs between short-term environmental gains and the expense of long-term losses, or vice versa, and a discussion of the extent to which the proposed action forecloses future options. In this context, short-term and long-term do not refer to any fixed time periods, but should be viewed in terms of the environmentally significant consequences of the proposed action.

(g) *Any irreversible and irretrievable commitments of resources that would be involved in the proposed action should it be implemented*. Identify the extent to which the action irreversibly curtails the range of potential uses of the environment. Avoid construing the term "resources" to mean only the labor and materials devoted to an action. "Resources" also means the natural and cultural resources committed to loss or destruction by the action.

(h) *Considerations that offset the adverse environmental effects*. Indicate the extent to which these stated countervail-

ing benefits could be realized by following responsible alternatives to the proposed action. In this connection, cost benefit analyses of proposed actions should be attached, or summaries thereof, to the environmental impact statement, and should clearly indicate the extent to which environmental costs have not been reflected in such analyses.

(i) *Summary sheet.* The EIS shall be accompanied by an executive summary sheet which must provide the following information:

- (1) Indicate whether the EIS is draft or final.
- (2) Give the names of the action, provide a brief description of it and indicate what geographical region (States and counties) is particularly affected.
- (3) Indicate whether it is an administrative or legislative action.
- (4) Summarize the environmental impact and adverse environmental effects.
- (5) List alternatives considered.
- (6) (i) (For draft EIS's) List all Federal, State and local agencies from which comments are being requested.
- (ii) (For final EIS's) List all Federal, State, and local agencies and other sources from which written comments have been received.
- (7) Provide the dates the draft statement and final statements were made available to the CEQ and the public.

PROCESSING ENVIRONMENTAL IMPACT STATEMENTS

§ 650.33 General.

(a) EIS's will be processed as displayed in figure 2-5. Both draft and final EIS's will be approved at HQDA by the OSA for filing with the CEQ, release to the Congress and Federal, State and local authorities and to others outside DA for comment or use. Approval will be obtained using normal staffing procedures by the functional staff agency which is proponent for the basic action in coordination with OCE (DAEN-ZCE) (see fig. 2-6). OCE may request that the Army Environmental Committee review the EIS for actions which have controversial, unusual, or Army-wide environmental impacts.

(b) Draft EIS's will be reproduced and forwarded to HQDA in sufficient copies for official distribution to Federal, State and local agencies; internal DA staffing; and release to private organizations and individuals that may request same. Final EIS's will be distributed as indicated in §§ 650.36 and 650.37. Also, sufficient extra copies (estimate of 30) will be produced for distribution to individuals, universities, private organizations, etc., that may request copies subsequent to approval of the action.

(c) EIS's are subject to the requirements of DOD Directive 5200.1-R, Information Security Program Regulation, pertaining to the identification, safeguarding, and dissemination of classified information and to DOD Directive 5230.9, Clearance of DOD Public Information, pertaining to security review for public review for public release approval. EIS's, both draft and final, which contain classified information, shall be pre-

pared, safeguarded, and disseminated in accordance with the usual requirements applicable to classified information (DOD Directive 5200.1-R). However, when feasible, the EIS's shall be organized in such a manner that classified portions can be included as annexes, so that the unclassified portions can be made available to the public.

(d) EIS's that have significant public affairs implications will be coordinated with OCINFO, HQDA.

(e) Until a draft EIS is approved for filing with CEQ and circulating for comment, a protective cover sheet (see fig. 2-7) will be used.

§ 650.34 Draft environmental impact statements.

(a) *Statements on administrative actions.* The processing of draft EIS's for filing with CEQ and circulating for comment will be accomplished by the HQDA functional staff proponent agency. The following distribution will be made for draft EIS's:

- (1) One (1) copy, OCE (DAEN-ZCE)
- (2) One (1) copy, OASA(CW).
- (3) Three (3) copies, OASD(H&E)
- (4) Five (5) copies, CEQ
- (5) One (1) copy, EPA, Washington DC

(6) Six (6) copies, EPA Regional Office that has administration over the area in which the action will take place.

(7) Two (2) copies minimum, appropriate Federal agencies having jurisdiction by law or special expertise with respect to any environmental impact involved. Figure 2-8 lists the Federal agencies according to their areas primary cognizance.

(8) Two (2) copies, State and local agencies authorized to develop and enforce environmental standards when the proposed action affects matters within their jurisdiction. These copies shall be sent to the appropriate State and regional or metropolitan clearinghouses in accordance with the procedures prescribed in OMB Circular No. A-95 unless the Governor of the State involved has designated some other point of contact for obtaining the State and local agency reviews. The clearinghouses are listed in the Directory of State, Metropolitan, the Regional Clearinghouses under OMB Circular No. A-95 (Revised) of April 19, 1971 (OCE (DAEN-ZCE) should be contacted, when appropriate, to obtain current information).

(9) Two (2) copies to cognizant Committees of the House and Senate in support of legislative proposals not pertaining to budget submissions (also see paragraph (b) of this section).

(10) EIS's are to be made available to relevant public commenting entities free of charge or at a fee which is not more than the actual cost of reproducing copies required to be sent to Government agencies.

(11) At such time as the draft EIS is forwarded to the CEQ, other Federal, State, and local agencies, it shall be made available to the public (to any organization or individual upon request) free of charge or, upon request, at a fee which is not more than the actual cost of re-

producing copies required to be sent to Government agencies.

(b) *Statements on legislative actions.* Three (3) copies of each draft EIS concerned with the annual budget request must accompany the budget submission through the Comptroller review process to OSD. In those instances where it has been determined that a project or activity will not have a significant impact on the environment, such determination must be stated on the project/activity request. Additional guidance is provided in the Budget Guidance Manual DOD 7110.1-M and DOD Instruction 7040.4. It is the responsibility of the HQDA Budget Director to provide required draft EIS's to the appropriate Congressional Committees at the time the legislative request is forwarded to the Congress. Distribution of the draft EIS to other agencies and to the public for comment shall be withheld until the legislative request has been forwarded to the Congress. However, if the draft EIS does not divulge the fiscal year or the monetary amount involved, it can be distributed for comment when approved by the Assistant Secretary of the Army (Civil Works).

§ 650.35 Circulation for comment.

(a) Circulation of a draft EIS for comment serves as a guard against objective errors or excessive bias. Further, it makes available expert knowledge from other agencies and the public which can assist the Army in its efforts to protect the environment.

(b) The HQDA staff agency requesting review and comments may establish a time limit of not less than 45 days for reply after CEQ publishes notice of the proposed action in the *FEDERAL REGISTER*. If the agency consulted does not reply within the established time limit, it may be presumed that the agency has no comment to make, unless a specific request for an extension of time has been made. Requests for extensions of time up to 15 days may be granted by DA unless the urgency of the action precludes such a delay. In determining the length of the review period, consideration will be given to magnitude and complexity of the statement and the possible extent of citizen interest.

(c) *Public hearings.* (1) Informal public hearings shall be conducted by the proponent HQDA staff agency or its delegate to obtain representative views from the various segments of the public when it is determined that the proposed action covered by the draft EIS is highly controversial. Such hearing will be publicly announced through local news media. Copies of the draft EIS will be made available to the public at least 15 days prior to the hearing.

(2) No public hearings need be held in connection with proposed legislation in view of the opportunity for public hearings in connection with Congressional consideration of the bill.

(3) Informal public hearings may be appropriate in the following situations:

- (i) Where the proposed action by the agency will have a direct or peculiar im-

fact on the people residing in a particular geographical area in terms of magnitude of economic costs of commitment of resources.

(ii) Where public organizations or members of the public possess expertise concerning the impact of the action that may not otherwise be available.

(iii) Where no overriding consideration of national security or time makes it illegal or impracticable to involve such organizations or members of the public in the consideration of a proposed action in which a high degree of interest by the public or other Federal, State or local authority is evidenced by a written request that a hearing be held.

§ 650.36 Final EIS.

(a) Final EIS's are prepared after receipt of review comments provided by other agencies and the public. In many cases, the final EIS's can be prepared by making minor revisions to the draft EIS and attaching the review comments received from other sources. In other cases, it may be necessary to provide a discussion of problems and objections raised by other Federal, State and local agencies and by private organizations and individuals and the disposition of the issues involved. Along with the comments received, this discussion will be appended to the final text of the EIS.

(b) Distribution of the final EIS shall be as follows:

- (1) Five (5) copies, OCE (DAEN-ZCE).
- (2) One (1) copy, OASA(CW).
- (3) One (1) copy, OASD(H&E).
- (4) Five (5) copies, CEQ.
- (5) Five (5) copies, appropriate Congressional Committees of the Senate and House of Representatives on final statements relating to section 412 Pub. L. 86-149, as amended, or the annual Military Construction Authorization Bill.

(6) One (1) copy to those who filed substantive comments on the corresponding draft statement.

(c) Supplementing or amending a draft or final EIS. A proponent agency may at any time supplement or amend a draft or final EIS. This should be accomplished when substantial changes are made in the proposed action or significant new information becomes available concerning its environmental aspects. The proponent agency should consult with OCE (DAEN-ZCE) with respect to the possible need for or desirability of recirculating the EIS.

§ 650.37 Time restrictions.

(a) Draft EIS will be prepared, furnished to the CEQ, and circulated for comment early enough before an action needs to be taken to permit meaningful consideration of the environmental is-

ssues involved. To the maximum extent practicable, no administrative action (i.e., any proposed action to be taken, other than proposals for legislation or reports on legislation) shall be taken sooner than 90 days after notice has been published in the FEDERAL REGISTER that CEQ has received the draft EIS and that it has been circulated for comment, and, except where advance public disclosure will result in significantly increased costs of procurement, made available to the public. Nor shall such administrative action be taken sooner than 30 days after notice of the final text of the EIS (together with comments) has been published in the FEDERAL REGISTER and the final EIS has been made available to commenting agencies and the public. The minimum 30-day and 90-day periods may run concurrently to the extent that they overlap. See figure 2-1.

(b) When it is not practical for a proponent agency to comply with the time requirements above, the proponent DA agency may request HQDA (DAEN-ZCE) to request a waiver of a portion of the time requirement for that specific action. Such a request will contain an explanation of the facts and circumstances to justify the waiver and staffing through OSD to CEQ.

§ 650.38 Review of EIS prepared by another Federal agency.

(a) EIS's will be referred to the Department of the Army by other Federal agencies for review when a proposed action may affect matters over which DA has jurisdiction by law, or where a proposed action may have environmental effects in an area where DA has been identified to possess special expertise.

(b) Comments by the Army on an EIS prepared by another Federal agency will, as a minimum, address the aspect of the action for which the statement was referred. The comments should be organized in a manner consistent with the structure of the draft statement stating the recommended changes and reasons for change. Modification to the proposed action and/or new alternatives that will enhance environmental quality and avoid or minimize adverse environmental impact are appropriately included. In addition, the comments should indicate whether any Army projects are planned that are not identified in the draft EIS and are sufficiently advanced in planning and related environmentally to the proposed action so that a discussion of the environmental interrelationships should be included in the final EIS. Comments should indicate the value of any monitoring of the environmental effects of the proposed project that appear particularly appropriate.

(c) DA review and comment on an EIS prepared by another Federal agency will be coordinated by OCE (DAEN-ZCE). When a request for review and comment is received directly by a DA agency other than OCE, that agency shall reply through OCE (DAEN-ZCE).

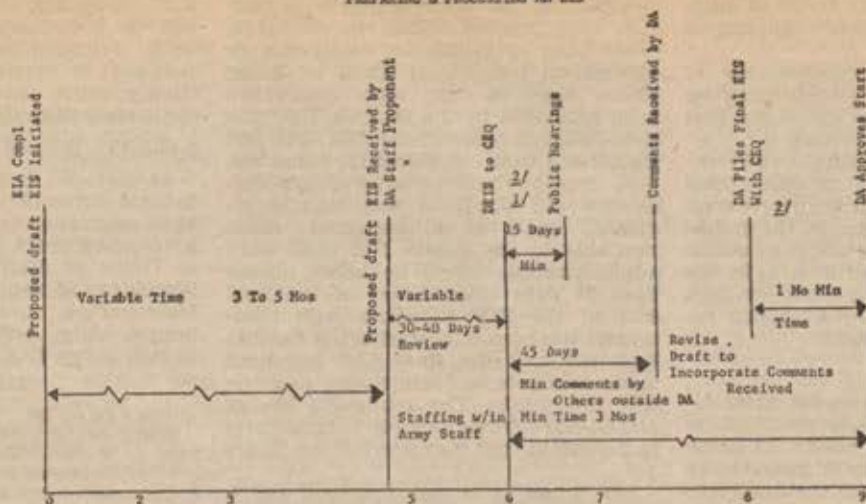
§ 650.39 Related publications.

At table 2-1 is a list of related publications. Some of these publications will be of assistance to the agency preparing a proposed draft EIS while others such as Office of Management and Budget Circular A-95 and the Directory of State, Metropolitan and Regional Clearinghouses, under A-95 will be of assistance to only a few HQDA agencies.

TABLE 2-1

- Public Law 91-190, "National Environmental Policy Act of 1969," January 1, 1970.
- Pub. L. 91-604, "Clean Air Amendments of 1970," December 31, 1970.
- Section 409 of Pub. L. 91-121, "Armed Forces Appropriation Authorization, 1970," November 19, 1969, as amended by section 506 of Pub. L. 91-441, "Armed Forces Appropriation Authorization, 1970," October 7, 1970.
- Executive Order 11514, "Protection Enhancement of Environmental Quality," March 7, 1970 (35 FR 46, 4247 (1970)).
- Executive Order 11752, "Prevention Control, and Abatement of Environmental Pollution at Federal Facilities," December 17, 1973.
- Executive Office of the President, Council on Environmental Quality, "Preparation of Environmental Impact Statements," August 1, 1973.
- Executive Office of the President, Office of Management and Budget, "Proposed Federal Actions Affecting the Environment," Bulletin No. 71-3, August 31, 1970.
- DOD Directive 5100.50, "Protection and Enhancement of Environmental Quality," May 24, 1973.
- DOD Directive 5500.5, "Natural Resources—Conservation and Management," May 24, 1965 (32 CFR Part 263).
- Executive Office of the President, Office of Management and Budget, Circular No. A-95 (Revised), February 9, 1971 (Parts I and II).
- "Directory of State, Metropolitan and Regional Clearinghouses," under OMB Circular No. A-95 (Revised, April 19, 1971).
- Pub. L. 86-149, "To Authorize Certain Construction at Military Installations and for Other Purposes," August 10, 1959.
- DOD Directive 5200.1-R, "Information Security Program Regulation," July 1972, authorized by DOD Directive 5200.1, June 1, 1972 (32 FR 159).
- DOD Directive 5230.9, "Clearance of DOD Public Information," December 24, 1966.
- DOD Directive 5400.7, "Availability to the Public of DOD Information," June 23, 1967 (32 FR 286).
- DOD Directive 7040.4, "Military Construction Authorization and Appropriations," July 16, 1971.
- DOD Directive 6050.1, Environmental Considerations in DOD Actions, March 19, 1974.

RULES AND REGULATIONS

NORMAL TIME RELATIONSHIPS FOR
PREPARING & PROCESSING AN EIS

1/ DEIS Draft EIS (Proposed draft EIS becomes DEIS when approved by responsible DA officials)

2/ Effective control date is the date that notice of the receipt by CEQ of the draft or final EIS is published in the Federal Register (usually within one week of receipt by CEQ).

Figure 2-1

QUARTERLY CEQ REPORT DEPARTMENT OF THE
ARMY (INCLUSIVE DATES)

(a) Final Statements

Subject: Date filed:

(b) Draft Statements

Subject: Date filed:

(c) Statements Under Preparation

Subject: Projected date:

(d) Lists of Actions for which a statement is not required:

(i) Actions which normally require a statement:

a Subject, date of determination.

b Brief reason for determination.

(ii) Actions similar to those for which a significant number of statements have been filed:

a Subject, date of determination.

b Brief reason for determination.

(iii) Actions previously announced as requiring a statement:

a Subject, date of determination.

b Brief reason for determination.

(iv) Actions for which the CEQ requested a statement:

a Subject, date of determination.

b Brief reason for determination.

(e) List of actions for which statements are not yet timely.¹

Subject: Date of evaluation

Figure 2-2

¹ Actions or activities which have been evaluated by the proponent agency and that agency has concluded that preparation of an EIS is not yet timely.

EXAMPLE

DEPARTMENT OF THE ARMY

ARMY COMMAND OR AGENCY

ENVIRONMENTAL IMPACT ASSESSMENT OR DRAFT ENVIRONMENTAL IMPACT STATEMENT

OR

FINAL ENVIRONMENTAL IMPACT STATEMENT

TITLE

INSTALLATION OR AGENCY

Date Prepared

Prepared by:

Approved by:

NAME AND POSITION TITLE

COMMANDER (COMMAND) INSTALLATION
OR HIS DESIGNEE AND OFFICE

Approved by:

COMMANDER (COMMAND) OR HIS
DESIGNEE AND OFFICE

Approved by:

OSA

Figure 2-3

OUTLINE FOR EIS CONTENT

A. INTRODUCTION

1. Project description
- a. Purpose of action
- b. Description of action
 - (1) Location and setting of the activity
 - (2) Summary of activities
2. Environmental setting
 - a. Environment prior to proposed action
 - b. Other related Federal activities

B. LAND-USE RELATIONSHIPS

- a. Conformity or conflict with other land-use plans, policies and controls
 - (1) Federal, state, and local
 - (2) Clean Air Act and Federal Water Pollution Control Act Amendments of 1972
- b. Conflicts and/or inconsistent land-use plans
 - (1) Extent of reconciliation
 - (2) Reasons for proceeding with action

C. PROBABLE IMPACT OF THE PROPOSED ACTION ON THE ENVIRONMENT

- a. Positive and negative effects
 - (1) Regional environmental and national/international environment where applicable
 - (2) Environmental factors to be considered
 - (3) Impact of proposed action
- b. Direct and indirect consequences
 - (1) Primary effects
 - (2) Secondary effects

RULES AND REGULATIONS

D. ALTERNATIVES TO THE PROPOSED ACTIONS

- a. Reasonable alternative actions
(1) Those that might enhance environmental quality
(2) Those that might avoid some or all adverse effects

b. Analysis of alternatives

- (1) Benefits
(2) Risks

E. PROBABLY ADVERSE ENVIRONMENTAL EFFECTS WHICH CANNOT BE AVOIDED

a. Adverse and unavoidable impacts

- b. How avoidable adverse impacts will be mitigated

F. RELATIONSHIP BETWEEN LOCAL SHORT-TERM USES OF MAN'S ENVIRONMENT AND MAINTENANCE AND ENHANCEMENT OF LONG-TERM PRODUCTIVITY

- a. Trade-off between short-term environmental gains at expense of long-term losses

- b. Trade-off between long-term environmental gains at expense of short-term losses
c. Extent to which proposed action forecloses future options

G. IRREVERSIBLE AND IRRETRIEVABLE COMMITMENTS OF RESOURCES

- a. Unavoidable impacts irreversibly curtailing the range of potential uses of the environment

- (1) Materials
(2) Natural
(3) Cultural

H. NATIONAL DEFENSE CONSIDERATIONS THAT MUST BE BALANCED AGAINST THE ADVERSE ENVIRONMENTAL EFFECTS OF THE PROPOSED ACTION

- a. Benefits of proposed action
b. Benefits of alternatives

Figure 2-4

EXAMPLE

FINAL DIAGRAM ENVIRONMENTAL IMPACT STATEMENTS

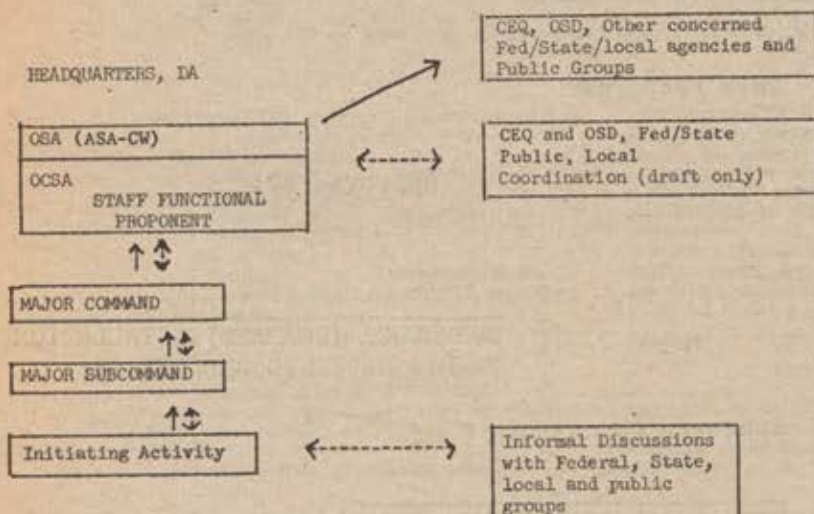
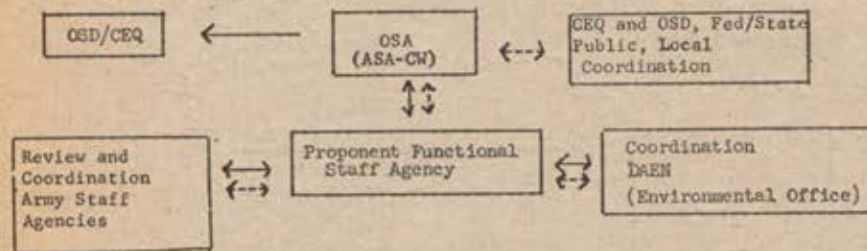


Figure 2-5

FLOW DIAGRAM ENVIRONMENTAL IMPACT STATEMENTS WITHIN HQ, DA



Key

--- Draft EIS

— Final EIS

PROTECTIVE COVER SHEET

The material contained in the attached Environmental Impact Statement is for internal coordinating use only and may not be released to non-Department of Defense agencies or individuals until coordination has

been completed and the material has been cleared for public release by appropriate authority.

EXAMPLE

NOTE: This cover sheet will be removed when the DEIS is approved by HQDA.

Figure 2-7

AREAS OF ENVIRONMENTAL IMPACT AND FEDERAL AGENCIES AND FEDERAL STATE AGENCIES WITH JURISDICTION BY LAW OR SPECIAL EXPERTISE TO COMMENT THEREON

AIR—AIR QUALITY

- Department of Agriculture—
Forest Service (effects on vegetation)
Atomic Energy Commission (radioactive substances)
Department of Health, Education, and Welfare
Environmental Protection Agency
Department of the Interior—
Bureau of Mines (fossil and gaseous fuel combustion)
Bureau of Sport Fisheries and Wildlife (effect on wildlife)
Bureau of Outdoor Recreation (effects on recreation)
Bureau of Land Management (public lands)
Bureau of Indian Affairs (Indian lands)
National Aeronautics and Space Administration (remote sensing, aircraft emissions)
Department of Transportation—
Assistant Secretary for Systems Development and Technology (auto emissions)
Coast Guard (vessel emissions)
Federal Aviation Administration (aircraft emissions)
FEA (energy and mobile sources emissions)

WEATHER MODIFICATION

- Department of Agriculture—
Forest Service
Department of Commerce—
National Oceanic and Atmospheric Administration
Department of Defense—
Department of the Air Force
Department of the Interior—
Bureau of Reclamation

WATER RESOURCES COUNCIL—WATER—WATER QUALITY

- Department of Agriculture—
Soil Conservation Service
Forest Service
Atomic Energy Commission (radioactive substances)
Department of the Interior—
Bureau of Reclamation
Bureau of Land Management (public lands)
Bureau of Indian Affairs (Indian lands)
Bureau of Sport Fisheries and Wildlife
Bureau of Outdoor Recreation
Geological Survey
Office of Saline Water
Environmental Protection Agency
Department of Health, Education, and Welfare
Department of Defense—
Army Corps of Engineers
Department of the Navy (ship pollution control)
National Aeronautics and Space Administration (remote sensing)
Department of Transportation—
Coast Guard (oil spills, ship sanitation)
Department of Commerce—
National Oceanic and Atmospheric Administration
Water Resources Council
River Basin Commissions (as geographically appropriate)

Figure 2-8

FISH AND WILDLIFE

- Department of Agriculture—
Forest Service
Soil Conservation Service
Department of Commerce—
National Oceanic and Atmospheric Administration (marine species)

Department of the Interior—
Bureau of Sport Fisheries and Wildlife
Bureau of Land Management
Bureau of Outdoor Recreation
Environmental Protection Agency

SOLID WASTE

Nuclear Regulatory Commission (radioactive waste)
Department of Defense—
Army Corps of Engineers
Department of Health, Education, and Welfare
Department of the Interior—
Bureau of Mines (mineral waste, mine acid waste, municipal solid waste, recycling)
Bureau of Land Management (public lands)
Bureau of Indian Affairs (Indian lands)
Geological Survey (geologic and hydrologic effects)
Office of Saline Water (demineralization)
Department of Transportation—
Coast Guard (ship sanitation)
Environmental Protection Agency
River Basin Commissions (as geographically appropriate)
Water Resources Council

NOISE

Department of Commerce—
National Bureau of Standards
Department of Health, Education, and Welfare
Department of Housing and Urban Development (land use and building materials aspects)
Department of Labor—
Occupational Safety and Health Administration
Department of Transportation—
Assistant Secretary for Systems Development and Technology
Federal Aviation Administration, Office of Noise Abatement
Environmental Protection Agency
National Aeronautics and Space Administration

RADIATION

Nuclear Regulatory Commission
Department of Commerce—
National Bureau of Standards
Department of Health, Education, and Welfare
Department of the Interior—
Bureau of Mines (uranium mines)
Mining Enforcement and Safety Administration (uranium mines)
Environmental Protection Agency

HAZARDOUS SUBSTANCES—TOXIC MATERIALS

Nuclear Regulatory Commission (radioactive substances)
Department of Agriculture—
Agricultural Research Service
Consumer and Marketing Service
Department of Commerce—
National Oceanic and Atmospheric Administration
Department of Defense
Department of Health, Education, and Welfare
Environmental Protection Agency

MARINE POLLUTION, COMMERCIAL FISHERY CONSERVATION, AND SHELLFISH SANITATION

Department of Commerce—
National Oceanic and Atmospheric Administration
Department of Defense—
Army Corps of Engineers
Office of the Oceanographer of the Navy
Department of Health, Education, and Welfare

Department of the Interior—
Bureau of Sport Fisheries and Wildlife
Bureau of Outdoor Recreation
Bureau of Land Management (outer continental shelf)
Geological Survey (outer continental shelf)
Department of Transportation—
Coast Guard
Environmental Protection Agency
National Aeronautics and Space Administration (remote sensing)
Water Resources Council
River Basin Commissions (as geographically appropriate)

WATERWAYS REGULATION AND STREAMS MODIFICATION

Department of Agriculture—
Soil Conservation Service
Department of Defense—
Army Corps of Engineers
Department of the Interior—
Bureau of Reclamation
Bureau of Sport Fisheries and Wildlife
Bureau of Outdoor Recreation
Geological Survey
Department of Transportation—
Coast Guard
Environmental Protection Agency

FOOD ADDITIVES AND CONTAMINATION OF FOODSTUFFS

Department of Agriculture—
Consumer and Marketing Service (meat and poultry products)
Department of Health, Education, and Welfare
Environmental Protection Agency

PESTICIDES

Department of Agriculture—
Agricultural Research Service (biological controls, food and fiber production)
Consumer and Marketing Service
Forest Service
Department of Commerce—
National Oceanic and Atmospheric Administration
Department of Health, Education, and Welfare
Department of the Interior—
Bureau of Sport Fisheries and Wildlife (fish and wildlife effects)
Bureau of Land Management (public lands)
Bureau of Indian Affairs (Indian lands)
Bureau of Reclamation (irrigated lands)
Environmental Protection Agency

TRANSPORTATION AND HANDLING OF HAZARDOUS MATERIALS

Nuclear Regulatory Commission (radioactive substances)
Department of Commerce—
Maritime Administration
National Oceanic and Atmospheric Administration (effects on marine life and the coastal zone)
Department of Defense—
Armed Services Explosive Safety Board
Army Corps of Engineers (navigable waterways)
Department of Transportation—
Federal Highway Administration, Bureau of Motor Carrier Safety
Coast Guard
Federal Railroad Administration
Federal Aviation Administration
Assistant Secretary for Systems Development and Technology
Office of Hazardous Materials
Office of Pipeline Safety
Environmental Protection Agency

ENERGY SUPPLY AND NATURAL RESOURCES DEVELOPMENT—ELECTRIC ENERGY DEVELOPMENT, GENERATION, AND TRANSMISSION, AND USE

Nuclear Regulatory Commission (nuclear)
Department of Agriculture—
Rural Electrification Administration (rural areas)
Department of Defense—
Army Corps of Engineers (hydro)
Department of Health, Education, and Welfare (radiation effects)
Department of Housing and Urban Development (urban areas)
Department of the Interior—
Bureau of Land Management (public lands)
Bureau of Reclamation
Power Marketing Administrations
Geological Survey
Bureau of Sport Fisheries and Wildlife
Bureau of Outdoor Recreation
National Park Service
Environmental Protection Agency
Federal Power Commission (hydro, transmission, and supply)
Federal Energy Administration (FEA)
River Basin Commissions (as geographically appropriate)
Tennessee Valley Authority
Water Resources Council

PETROLEUM DEVELOPMENT, EXTRACTION, REFINING, TRANSPORT, AND USE

Department of the Interior—
Office of Oil and Gas
Bureau of Mines
Geological Survey
Bureau of Land Management (public lands and outer continental shelf)
Bureau of Indian Affairs (Indian lands)
Bureau of Sport Fisheries and Wildlife (effects on fish and wildlife)
Bureau of Outdoor Recreation
National Park Service
Department of Transportation (Transport and Pipeline Safety)
Environmental Protection Agency
Interstate Commerce Commission
Federal Energy Administration

NATURAL GAS DEVELOPMENT, PRODUCTION, TRANSMISSION, AND USE

Department of Housing and Urban Development (urban areas)
Department of the Interior—
Office of Oil and Gas
Geological Survey
Bureau of Mines
Bureau of Land Management (public lands)
Bureau of Indian Affairs (Indian lands)
Bureau of Sport Fisheries and Wildlife
Bureau of Outdoor Recreation
National Park Service
Department of Transportation (transport and safety)
Environmental Protection Agency
Federal Power Commission (production, transmission, and supply)
Interstate Commerce Commission
Federal Energy Administration

COAL AND MINERALS DEVELOPMENT, MINING, CONVERSION, PROCESSING, TRANSPORT, AND USE

Appalachian Regional Commission
Department of Agriculture—
Forest Service
Department of Commerce
Department of the Interior—
Office of Coal Research
Mining Enforcement and Safety Administration

RULES AND REGULATIONS

Bureau of Mines
Geological Survey
Bureau of Indian Affairs (Indian lands)
Bureau of Land Management (public lands)
Bureau of Sport Fisheries and Wildlife
Bureau of Outdoor Recreation
National Park Service
Department of Labor—
Occupational Safety and Health Administration

Department of Transportation
Environmental Protection Agency
Interstate Commerce Commission
Tennessee Valley Authority
Federal Energy Administration

RENEWABLE RESOURCE DEVELOPMENT, PRODUCTION, MANAGEMENT, HARVEST, TRANSPORT, AND USE

Department of Agriculture—
Forest Service
Soil Conservation Service
Department of Commerce
Department of Housing and Urban Development (building materials)

Department of the Interior—
Geological Survey
Bureau of Land Management (public lands)
Bureau of Indian Affairs (Indian lands)
Bureau of Sport Fisheries and Wildlife
Bureau of Outdoor Recreation
National Park Service

Department of Transportation
Environmental Protection Agency
Federal Energy Administration
Interstate Commerce Commission (freight rates)

ENERGY AND NATURAL RESOURCES CONSERVATION

Department of Agriculture—
Forest Service
Soil Conservation Service
Department of Commerce—
National Bureau of Standards (energy efficiency)
Department of Housing and Urban Development—
Federal Housing Administration (housing standards)

Department of the Interior—
Office of Energy Conservation
Bureau of Mines
Bureau of Reclamation
Geological Survey
Power Marketing Administration
Department of Transportation
Environmental Protection Agency
Federal Power Commission
General Services Administration (design and operation of buildings)
Tennessee Valley Authority
Federal Energy Administration

LAND USE AND MANAGEMENT—LAND USE CHANGES, PLANNING AND REGULATION OF LAND DEVELOPMENT

Department of Agriculture—
Forest Service (forest lands)
Agricultural Research Service (agricultural lands)
Department of Housing and Urban Development
Department of the Interior—
Office of Land Use and Water Planning
Bureau of Land Management (public lands)
Bureau of Indian Affairs (Indian lands)
Bureau of Sport Fisheries and Wildlife (wildlife refuges)
Bureau of Outdoor Recreation (recreation lands)
National Park Service (NPS units)
Department of Transportation

Environmental Protection Agency (pollution effects)
National Aeronautics and Space Administration (remote sensing)
River Basin Commissions (as geographically appropriate)

PUBLIC LAND MANAGEMENT

Department of Agriculture—
Forest Service (forests)
Department of Defense
Department of the Interior—
Bureau of Land Management
Bureau of Indian Affairs (Indian lands)
Bureau of Sport Fisheries and Wildlife (wildlife refuges)
Bureau of Outdoor Recreation (recreation lands)
National Park Service (NPS units)
Federal Power Commission (project lands)
General Services Administration
National Aeronautics and Space Administration (remote sensing)
Tennessee Valley Authority (project lands)

PROTECTION OF ENVIRONMENTALLY CRITICAL AREAS—FLOODPLAINS, WETLANDS

BEACHES AND DUNES, UNSTABLE SOILS, STEEP SLOPES, AQUIFER RECHARGE AREAS, ETC.

Department of Agriculture—
Agricultural Stabilization and Conservation Service
Soil Conservation Service
Forest Service
Department of Commerce—
National Oceanic and Atmospheric Administration (coastal areas)
Department of Defense—
Army Corps of Engineers
Department of Housing and Urban Development (urban and floodplain areas)
Department of the Interior—
Office of Land Use and Water Planning
Bureau of Outdoor Recreation
Bureau of Reclamation
Bureau of Sport Fisheries and Wildlife
Bureau of Land Management
Geological Survey
Environmental Protection Agency (pollution effects)
National Aeronautics and Space Administration (remote sensing)
River Basin Commissions (as geographically appropriate)
Water Resources Council

LAND USE IN COASTAL AREAS

Department of Agriculture—
Forest Service
Soil Conservation Service (soil stability, hydrology)
Department of Commerce—
National Oceanic and Atmospheric Administration (impact on marine life and coastal zone management)
Department of Defense—
Army Corps of Engineers (beaches, dredge and fill permits, Refuse Act permits)
Department of Housing and Urban Development (urban areas)
Department of the Interior—
Office of Land Use and Water Planning
Bureau of Sport Fisheries and Wildlife
National Park Service
Geological Survey
Bureau of Outdoor Recreation
Bureau of Land Management (public lands)
Department of Transportation—
Coast Guard (bridges, navigation)
Environmental Protection Agency (pollution effects)
National Aeronautics and Space Administration (remote sensing)

REDEVELOPMENT AND CONSTRUCTION IN BUILT-UP AREAS

Department of Commerce—
Economic Development Administration (designated areas)
Department of Housing and Urban Development
Department of the Interior—
Office of Land Use and Water Planning
Department of Transportation
Environmental Protection Agency
General Services Administration
Office of Economic Opportunity

DENSITY AND CONGESTION MITIGATION

Department of Health, Education, and Welfare
Department of Housing and Urban Development
Department of the Interior—
Office of Land Use and Water Planning
Bureau of Outdoor Recreation
Department of Transportation
Environmental Protection Agency

NEIGHBORHOOD CHARACTER AND CONTINUITY

Department of Health, Education, and Welfare
Department of Housing and Urban Development
National Endowment for the Arts
Office of Economic Opportunity

IMPACTS ON LOW-INCOME POPULATIONS

Department of Commerce—
Economic Development Administration (designated areas)
Department of Health, Education, and Welfare
Department of Housing and Urban Development
Office of Economic Opportunity

HISTORIC, ARCHITECTURAL AND ARCHEOLOGICAL PRESERVATION

Advisory Council on Historic Preservation
Department of Housing and Urban Development
Department of the Interior—
National Park Service
Bureau of Land Management (public lands)
Bureau of Indian Affairs (Indian lands)
General Services Administration
National Endowment for the Arts

SOIL AND PLANT CONSERVATION AND HYDROLOGY

Department of Agriculture—
Soil Conservation Service
Agricultural Service
Forest Service
Department of Commerce—
National Oceanic and Atmospheric Administration
Department of Defense—
Army Corps of Engineers (dredging, aquatic plants)
Department of Health, Education, and Welfare
Department of the Interior—
Bureau of Land Management
Bureau of Sport Fisheries and Wildlife
Geological Survey
Bureau of Reclamation
Environmental Protection Agency
National Aeronautics and Space Administration (remote sensing)
River Basin Commissions (as geographically appropriate)
Water Resources Council

OUTDOOR RECREATION

Department of Agriculture—
Forest Service
Soil Conservation Service

Department of Defense—
Army Corps of Engineers
Department of Housing and Urban Development (urban areas)
Department of the Interior—
Bureau of Land Management
National Park Service
Bureau of Outdoor Recreation
Bureau of Sport Fisheries and Wildlife
Bureau of Indian Affairs
Environmental Protection Agency
National Aeronautics and Space Administration (remote sensing)
River Basin Commissions (as geographically appropriate)¹
Water Resources Council

Subpart C—Water Resources Management

GENERAL

§ 650.51 Purpose.

This chapter sets forth guidance and procedure for the DA implementation of the Federal Water Pollution Control Act of 1972 (FWPCA) (Pub. L. 92-500) and the water pollution control regulations promulgated by the U.S. Environmental Protection Agency, U.S. Coast Guard, U.S. Army Corps of Engineers and State and regional water pollution control authorities. Additional guidance regarding discharge of hazardous and toxic materials appears in Subpart F of this part.

§ 650.52 Goals and objectives.

The Department of Army goal is to conserve water resources and protect them from contamination by controlling all sources of pollutants in accordance with applicable Federal, State or regional standards and vigorously contribute to the attainment of the national goal of eliminating the discharge of pollutants by 1985. Inherent in this goal are the following objectives:

- (a) Identify, treat, monitor, control and dispose of all waterborne wastes produced by Army fixed and mobile facilities in accordance with published Federal, State and regional standards.
- (b) Conserve water resources used in the conduct of basic activities on all Army installations by instituting economy measures and by reuse when practicable.
- (c) Minimize soil erosion and attendant pollution caused by rapid and uncontrolled runoff into streams and rivers.
- (d) Provide drinking water that satisfies the potability standards published by the U.S. Environmental Protection Agency (EPA) as interpreted by The Surgeon General of the Army (see § 650.57).

¹ River Basin Commissions (Delaware, Great Lakes, Missouri, New England, Ohio, Pacific Northwest, Souris-Red Rainy, Susquehanna, Upper Mississippi) and similar Federal-State agencies should be consulted on actions affecting the environment of their specific geographic jurisdictions.

In all cases where a proposed action will have significant international environmental effects, the Department of State should be consulted, and should be sent a copy of any draft and final impact statement which cover such action.

(e) Comply with the provisions of the Federal Water Pollution Control Act (Pub. L. 92-500) by obtaining and complying with permits issued by EPA under the National Pollutant Discharge Elimination System (NPDES) and the Corps of Engineers for the discharge of dredged or fill material.

(f) Comply with the provisions of the Marine Protection, Research and Sanctuaries Act of 1972 (Pub. L. 92-532) by obtaining and complying with permits issued by EPA for the discharge of any material other than dredged material into ocean waters and by the Corps of Engineers for the discharge of dredged material into ocean waters.

§ 650.53 Explanation of terms.

(a) **National Pollutant Discharge Elimination System (NPDES).** The system for issuing and conditioning permits under a schedule of compliance and denying permits for the discharge of pollutants from point sources into the navigable waters, which is administered by the Administrator of the Environmental Protection Agency pursuant to sections 402 and 405 of Pub. L. 92-500. The following additional terms have the following meanings with respect to the NPDES program and the FWPCA:

(1) **Pollutant.** Solid waste, incinerator residue, sewage, garbage, sewage sludge, munitions, chemical wastes, biological materials, radioactive materials, heat, wrecked or discarded equipment, rock, sand, cellar dirt, and industrial, municipal, and agricultural waste discharge into water. It does not mean "sewage from vessels."

(2) **Point source.** Any discernible, confined and discrete conveyance, including but not limited to any pipe, ditch, channel, tunnel, conduit, well, discrete fissure, container, rolling stock, concentrated animal feeding operation, or vessel or other floating craft, from which pollutants are or may be discharged.

(3) **Discharge of a pollutant.** Any addition of any pollutant to navigable waters from any point source.

(4) **Permit.** Any permit or equivalent document or requirement issued by the Environmental Protection Agency to regulate the disposal of pollutants.

(5) **Schedule of compliance.** A schedule of remedial measures including sequence of actions or operations leading to compliance with an effluent limitation, other limitation, prohibition, or standard.

(6) **Navigable waters.** All navigable waters of the United States (except the territorial seas); tributaries of navigable waters of the United States; interstate waters; intrastate lakes, rivers, and streams which are utilized by interstate travelers for recreational or other purposes; intrastate lakes, rivers, and streams from which fish or shellfish are taken and sold in interstate commerce; and intrastate lakes, rivers, and streams which are utilized for industrial purposes by industries in interstate commerce.

(b) **Treatment works.** Any facility, method or system for the storage, treat-

ment, recycling, or reclamation of municipal sewage or industrial wastes of a liquid nature, including waste in combined storm water and sanitary sewer systems.

(c) **Material into ocean waters.** Matter of any kind or description, but not limited to solid waste, incinerator residue, garbage, sewage, sewage sludge, munitions, radiological, chemical, and biological warfare agents, radioactive materials, chemicals, biological and laboratory waste, wrecked or discarded equipment, rock, sand, excavation debris, and industrial, municipal, agricultural, and other waste. It does not mean oil of any kind or in any form, including, but not limited to, petroleum, fuel oil, sludge, oil refuse, and oil mixed with wastes other than dredge material and does not mean sewage from vessels including human body wastes and wastes from toilets and other receptacles intended to receive or retain body wastes.

(d) **Ocean waters.** Those waters of the open seas lying seaward of the baseline from which the territorial sea is measured, as provided for in the Convention on the Territorial Sea and the Contiguous Zone (15 UST 1606; TIAS 5639).

(e) **Dredged material.** Any material excavated or dredged from navigable waters.

(f) **Fill material.** Any material deposited or discharged into navigable waters which may result in creating fastlands or other planned elevations of lands beneath navigable waters of the United States.

(g) **Navigable waters of the United States.** Waters which are subject to the ebb and flow of the tide, or which were used in the past, are presently used, or are susceptible to use as a means to transport interstate commerce. See 33 CFR 209.260 for a more complete definition of this term.

§ 650.54 Policy.

It is the policy of the Army to:

- (a) Conserve all water resources.
- (b) Control or eliminate all sources of pollutants to navigable waters or groundwaters by on-post treatment of wastes by joining regional or municipal sewage treatment systems or by employing recycling processes.

(c) Comply with applicable Federal, State and regional pollutant effluent limitation standards.

(d) Demonstrate leadership in attaining the national goal of zero pollutant discharge.

(e) Provide drinking water that satisfies the potability standards published by the Public Health Service/EPA as interpreted by The Surgeon General of the Army (TSG) (§ 650.57).

(f) Cooperate with Federal, State and regional authorities in the formulation and execution of water pollution control plans.

(g) Comply with the requirements for permits for the discharge of pollutants into navigable waters (section 402 of the FWPCA and implementing regulations in 40 CFR Part 125); the transportation of material (other than dredged material)

for the purpose of dumping it in ocean waters (section 102 of the Marine Protection, Research and Sanctuaries Act of 1972 and implementing regulations in 40 CFR Part 220); and for activities in or affecting navigable or ocean waters including the discharge of dredged or fill material in navigable waters of the United States and the ocean disposal of dredged material (sections 9 and 10 of the River and Harbor Act of 1899, section 404 of the FWPCA, and section 103 of the Marine Protection, Research and Sanctuaries Act of 1972 and implementing regulations in 33 CFR 209.120).

§ 650.55 Responsibilities.

(a) The Chief of Engineers will exercise Army staff responsibility for directing and coordinating the Army water pollution abatement program for both fixed and mobile facilities. Specifically the Chief of Engineers will—

(1) Promulgate policy and regulations on water resources management which reflect Department of Defense guidance and pertinent provisions of water pollution control laws.

(2) Develop long range policies on wastewater treatment to achieve the 1983 water quality objectives and 1985 goals of Pub. L. 92-500.

(3) Manage the identification, reporting, engineering, design and construction of projects required to control and monitor discharges in accordance with applicable Federal, State and regional water quality standards.

(4) Monitor water conservation practices for the purpose of identifying new potential uses for wastewater and methods for reducing water consumption.

(5) Publish policies on the control and disposal of sewage, galley, bilge and marine engine wastes.

(6) Provide guidance and direction to Army facilities in the preparation of applications for operating permits required by the FWPCA, Marine Protection, Research and Sanctuaries Act of 1972, and River and Harbor Act of 1899.

(7) Monitor the status of all FWPCA and ocean dumping permits and reports submitted in accordance with permit provisions.

(8) Coordinate the promulgation of new or revised water criteria and standards with TSC.

(9) Monitor master plans, construction plans and activities, and natural resource conservation activities to control surface water runoff and minimize erosion.

(10) Review and comment on NPDES and ocean dumping permits issued by EPA to Army installations.

(b) The Surgeon General will—

(1) Monitor health and welfare aspects of water and wastewater control criteria and standards promulgated by Federal and State agencies.

(2) Establish and conduct water supply surveillance programs to insure the maintenance of adequate potable water for Army installations.

(3) Accumulate, evaluate and disseminate information on water pollution conditions that may adversely affect the health of man and animals.

(4) Conduct field investigations and special studies to determine the effectiveness of wastewater treatment and recommend corrective measures when appropriate.

(5) Provide technical consultation on the health, welfare, and environmental aspects of water and wastewater treatment programs and activities.

(6) Coordinate the development of water and wastewater treatment standards, procedures, surveys and studies with the Chief of Engineers.

(7) Review and comment on NPDES and ocean dumping permits issued by EPA to Army installations.

(8) Assist the Chief of Engineers in the formulation of plans and design criteria for water monitoring systems.

(9) Maintain a record of all FWPCA and ocean dumping permits issued to Army installations, perform a technical evaluation of FWPCA and ocean discharge monitoring reports received, and notify submitting installations of noted deficiencies.

(10) Report semi-annually on the status of NPDES permits and NPDES discharge monitoring reports to the HQDA (DAEN-ZCE) Washington, DC 20310, (RCS-ENG 237).

(c) Major Army Commands (MACOMS) have the responsibility to insure that they and their subordinate elements develop programs which will—

(1) Identify, quantify and report all sources of water pollution and take appropriate action to eliminate or reduce them to acceptable levels. This applies to all Army facilities to include all buildings, installation structures, land, utilities, equipment, aircraft, vessels and other vehicles and property controlled by or constructed or manufactured for the purpose of leasing to the Army.

(2) Program and budget funds for remedial water pollution control projects to insure compliance with applicable standards by statutory imposed dates.

(3) Establish routine wastewater control monitoring programs to insure compliance with discharge limitations established by regulatory agencies and adherence to proper waste treatment operational procedure as specified in TM 5-665, TM 5-814-3, and TM 5-814-6.

(4) Obtain permits from the appropriate EPA Regional Administrator for all discharges of pollutants from installations and activities into navigable waters as required by NPDES and for the transportation of materials for the purpose of dumping them into ocean waters and comply fully with the provisions of such permits.

(5) Obtain permits from the appropriate District Engineer for all other actions in or affecting navigable waters of the United States, including the discharge of dredged or fill material in such waters, and for the transportation of dredged material for the purpose of dumping it in ocean waters.

(6) Control the discharge of sewage and bilge waste from vessels in accordance with U.S. Coast Guard, EPA, DOD or state regulations.

(7) Control the runoff of surface waters to minimize soil erosion, down-

stream flooding and pollution of waterways by sediments and contaminants.

(8) Conserve water resources by instituting regulatory measures where needed and by the judicious use of wastewater for consumptive purposes.

(9) Provide all personnel with drinking water that meets the quality standards specified by The Surgeon General.

(10) Commander, U.S. Army Materiel Command will develop appropriate pollution control devices and retrofit vessels in the inventory required to meet specified standards.

§ 650.56 Related publications.

(a) Pub. L. 92-500; Federal Water Pollution Control Act Amendments of 1972 (84 Stat. 100, 33 U.S.C. 1163).

(b) Pub. L. 92-532; Marine Protection, Research, and Sanctuaries Act of 1972.

(c) Rivers and Harbors Act of 1899 (33 U.S.C. 401-413).

(d) Executive Order 11752, "Prevention, Control and Abatement of Environmental Pollution at Federal Facilities," December 17, 1973.

(e) TB 55-1900-206-14, Control and Abatement of Pollution by Army Watercraft.

STANDARDS AND PROCEDURES

§ 650.57 Water supply standards.

Potable water supply standards must meet, as a minimum, the standards set by the U.S. Public Health Service (42 CFR 72.201-207)/EPA as interpreted by The Surgeon General of the Army (TB MED 229).

§ 650.58 Water quality standards.

(a) Under the provisions of Pub. L. 92-500 it is the responsibility of the States to establish water quality standards and formulate an overall plan for achieving and enforcing these water quality standards. These criteria are based on the quality of water necessary to achieve and maintain use classifications of water such as recreation, fish and wildlife propagation, public water supply, and industrial and agricultural uses. States are also required to establish effluent discharge limitations necessary to achieve and maintain the desired use classification. For Army installations, implementation and enforcement of the applicable Federally or State developed effluent limitations, and water quality standards are accomplished by the regional headquarters of the Environmental Protection Agency through the National Pollutant Discharge Elimination System.

(b) The following effluent limitations are minimum standards which have been established pursuant to Pub. L. 92-500. More stringent effluent limitations may be established by the Administrator, EPA, to attain or maintain the water quality standards established by the State. Permissible effluent limitations, whether based on Federal or State water quality standards or on water quality criteria will be specified by the EPA Regional Administrator in the NPDES permit issued for each point of discharge.

§ 650.59 Effluent limitations.

(a) Domestic waste water effluents:

(1) As an interim limitation, all effluents from predominately domestic sources will be receiving the equivalent of secondary treatment as a minimum by July 1, 1977.

(2) By July 1, 1983, domestic wastewater limitations will be based on the best practicable waste treatment technology. Planning for 1983 discharge requirements will be clarified pending case by case evaluation of EPA criteria for 1983 which should be contained in NPDES permits to be issued in the 1977-1980 time frame. It may be assumed that the 1983 standards would require some form of advanced wastewater treatment, i.e., phosphate, nitrate or carbonate removal; very low values of biochemical/chemical oxygen demand, suspended solids and fecal coliform bacteria; and minimal fluctuations in pH and temperature.

(b) Industrial wastewater effluents.

(1) As an interim limitation all effluents from existing industrial sources will be treated by processes employing the "best practicable control technology currently available" by July 1977. Guidelines and standards defining effluent limitations for best practicable control technology currently available are published under 40 CFR Parts 401 through 447. At present only two industrial categories apply to Army activities; these are 40 CFR Part 413, Electro, plating, and 40 CFR Part 415, Inorganic Chemicals. EPA will publish regulations in the form of effluent limitations guidelines and standards of performance and pretreatment for ammunition production facilities at a later date. DAEN-ZCE will issue guidance as appropriate.

(2) By July 1, 1983, treatment of existing industrial wastewater effluents will employ the "best available technology economically achievable." Effluent limitations based on the best available technology economically achievable have been defined and are published in previously mentioned 40 CFR Parts 401 through 447.

(3) Effluent limitations for new sources are in most cases based on best available technology economically achievable and, therefore must necessarily meet the "1983 standards." These effluent limitations are also published with the guidelines and standards in 40 CFR Parts 401 through 447.

(c) Oil. The discharge of oil or effluents containing oil is limited by the quality determined to be harmful to the public health or welfare; or by applicable water quality standards; or by the amount which will cause a film or sheen upon a discoloration of the surface of the water or adjoining shorelines; or cause a sludge or emulsion to be deposited beneath the surface of the water or adjoining shorelines (40 CFR Part 110 and Subpart F of this Part).

(d) Pretreatment Standards (40 CFR Part 128). Non-domestic wastewater effluents from Army installations which are discharged to regional or municipal sewage treatment works must comply with the following limitations:

(1) Effluents will be treated sufficiently to remove wastes which: (i) would create a fire or explosion hazard, (ii) have pH lower than 5.0, (iii) would obstruct flow in sewers or interfere with proper operation of the works or (iv) are introduced at an excessive flow or pollutant discharge rate likely to interfere with proper treatment.

(2) If the characteristics of the effluent qualify the Army installation as a "major contributing industry" and the effluent contains "incompatible pollutants" then the effluent will be pretreated prior to discharge, employing technology described in § 650.59(b) (1), (2) or (3) depending on whether the effluent is from an existing or new source. Such pretreatment is necessary to prevent the discharge of any pollutant into regional or municipal treatment works which may interfere with, pass through or otherwise be incompatible with such works.

(e) Toxic and hazardous pollutants. The EPA determines and publishes a list of toxic and hazardous pollutants and issues effluent or dumping limitations for these substances. Limitations often include absolute prohibition against discharge. Both the Surgeon General and the Chief of Engineers will maintain a list of such pollutants for which effluent guidelines are issued or are pending and will monitor suspected toxic pollutants until a decision on the actual effects is made. The discharge of these toxic pollutants from all Army facilities will comply with the limitations set by the EPA. In all cases, the discharge of a suspected toxic pollutant will be strictly controlled or prohibited until a determination is made as to the potential dangers involved and effluent limitations are established by the EPA and The Surgeon General of the Army.

(1) Prohibited substances. The toxic pollutants which have been prohibited from effluent discharges are listed in 40 CFR Part 129, EPA Regulations on Listing Toxic Pollutants. Other prohibited substances which may not be ocean dumped are listed in 40 CFR 227.21.

(2) Hazardous substances. The EPA listing of hazardous substances which are subject to strict effluent limitations will be addressed in 40 CFR Part 116.

(f) Thermal pollution. Thermal discharges are subject to the best practicable and best available control technology requirements, as are other non-domestic pollutants. Thermal pollutant standards vary depending on temperature of the receiving water, the temperature and relative volume of the effluent, and effects such discharges will have regarding the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife in and on the receiving water. Therefore, cases which involve thermal pollution are highly individual and are generally limited to large sources of thermal pollution such as steam electric power plants (40 CFR Part 423).

(g) Watercraft. Effluent limitations from watercraft are established by the U.S. Coast Guard, Department of Defense (Department of Navy is the lead

agency for DOD), EPA (40 CFR Part 140) and the States. Department of Army vessels: except those acquired and/or operated by the Civil Works appropriations of the U.S. Army Corps of Engineers, will comply with standards and procedures set by the Office, Secretary of Defense and by TB 55-1900-206-14, Control and Abatement of Pollution by Army Watercraft. Civil Works vessels will comply with U.S. Coast Guard standards of performance and certification.

(1) Non-domestic waste discharge limitations. Non-domestic waste (i.e., bilge, fuels, lubricants and other non-human wastes) discharges to navigable waters is prohibited. (40 CFR Part 110). Exempt from this prohibition are discharges of oil from properly functioning vessel engines, provided such normal discharges are not deemed harmful.

(2) Domestic waste discharge limitations. EPA in 40 CFR Part 140, establishes federal effluent limitation standards for the discharge of sewage from vessels. To meet these standards, the U.S. Coast Guard has established certification procedures, design and construction requirements and dates for compliance for equipping vessels with marine sanitation devices (33 CFR Part 159). Marine sanitation devices and systems under development or procurement for new vessels or to replace existing equipment should be carefully selected with "no discharge" as a possible parameter and that full consideration be given to systems based on holding tanks rather than actual treatment systems.

§ 650.60 Ocean dumping standards.

The Marine Protection, Research and Sanctuaries Act of 1972 (Pub. L. 92-532) and EPA prohibit the dumping of certain materials into ocean waters and controls the dumping of all other materials. Army controlled activities will comply with the regulations and standards set by this act and notify HQDA (DAEN-ZCE) WASH DC 20310 of all permit requests. (40 CFR Parts 220-227 and 33 CFR 209.120).

§ 650.61 Activities in navigable waters or ocean waters.

The construction of any structure in or over any navigable water of the United States, the excavation from or depositing of material in such waters, or the accomplishment of any other work affecting the course, location, condition or capacity of such waters must have prior approval of the Chief of Engineers or his authorized representative. Authority for such work is provided by issuance of a permit. Policy, practice and procedures are contained in 33 CFR 209.120.

§ 650.62 Storage of hazardous materials.

Storage facilities for materials which are hazardous to health, and for oils, gases, fuels or other materials capable of causing water pollution, to either surface or ground waters, if accidentally discharged, will be so located as to minimize or prevent such spillage. Measures necessary to entrap spillage, such as catchment areas, relief vessels, of entrapment dikes, will be installed so as to prevent and/or contain accidental pol-

lution of water (Subparts F and I of this part).

§ 650.63 Water supply treatment procedures.

Water supplies will be monitored and, where necessary, treated in accordance with AR 420-46, Water and Sewerage, TB MED 229; AR 115-21, Hydrologic Services for Military Purposes and AR 115-20, Field Water Supply.

§ 650.64 Water conservation.

(a) *Reduce consumption.* All uses of water will be periodically surveyed and action taken to reduce water consumption wherever possible. The design and construction of new facilities and processes will consider minimized consumption of water, in particular potable water, as a major parameter. Vegetation and landscaping will be selected for the particular climate and geographical location so as to minimize or eliminate the need for irrigation.

(b) *Reuse-recycle.* In addition to reducing initial water consumption, water conservation measures will include the re-use or recycling of wastewater whenever practicable. The design methodology for new or for modification of old facilities and processes will identify potential re-use or recycling of wastewater alternatives and such alternatives will be selected whenever it is determined economically competitive with "once through" processes. Examples include closed cycle cooling systems for power plants and the use of land based sewage treatment systems.

(c) *Erosion Control.* Operations will be scheduled and designed to reduce or eliminate the destruction of vegetation and other ground cover which prevents erosion and stream siltation. Siting of new facilities will consider topography and soil conditions to reduce construction in areas sensitive to erosion. Construction techniques and methods that minimize erosion will be identified in all construction contracts and design/construction specifications. Large parking lots, roof areas, aircraft facilities and roads which result in rapid runoff will be minimized wherever practicable. Periodic surveys will be made to identify areas where erosion has occurred and action will be initiated to control further erosion such as planting vegetation; controlling and, where necessary, impounding stormwater from areas of rapid runoff.

§ 650.65 Minor industrial and municipal operations.

Wastewater discharge from minor industrial and municipal facilities such as wash racks, engine steam cleaning operations, water treatment plant backwash, swimming pool filter backwash and other similar activities will be connected to the sanitary sewer wherever feasible. It should be noted that effluent from these activities not connected to sanitary sewers requires an NPDES discharge permit. To eliminate costly and difficult treatment and monitoring programs all possible efforts should be directed to connecting with the sanitary

lines. At remote locations, a holding tank may be used which is sized to hold all drainage between pumpouts. After pumpout, the wastewater will be transported to another location for treatment and disposal. Other alternatives include on-site treatment which would require a discharge permit, or a closed cycle system which would treat and re-use the wastewater. In the latter case, if there were no discharges, a permit would not be required.

§ 650.66 NPDES permits.

The NPDES permit program (40 CFR Part 125) requires that all discharges of pollutants from point sources into navigable waters, (§ 650.63(a)(6)), will be regulated by a discharge permit. This applies to domestic and industrial wastewater. The permit requirement does not extend to discharges from separate storm sewers except where the storm sewers receive industrial, municipal and agricultural wastes or runoff or where the storm runoff discharge has been identified by the Regional Administrator, the State water pollution control agency, or an interstate agency as a significant contributor of pollution. Also exempted are Army controlled properties (except when needed for public use) which are leased to contractors or others under authority of 10 U.S.C. 2657. It is the administrator of the lease who will monitor and institute corrective actions as necessary to insure that the lessee obtains and adheres to the NPDES permit.

(a) *Permit application.* When it is determined that an NPDES permit is required, permit applications will be requested from the applicable EPA Regional Office.

(b) *Draft permits.* A draft permit will be issued based on the permit application. The draft permit will contain effluent limitations necessary to meet water quality standards; compliance schedules identifying dates on when the effluent limitations will be met; monitoring programs identifying type of pollutant to be monitored, method of sampling and analysis, frequency of sampling; and method and frequency of reporting monitoring program results.

(c) *Draft permit review.* EPA is required to provide copies of the draft permit to the installation commander, the state, and the general public for review and comment. In general there will be not less than thirty (30) days in which to provide comment before the final permit is issued. MACOMS will provide copies of all NPDES permits (both draft and final) received from EPA to the U.S. Army Environmental Hygiene Agency, ATTN: HSE-EW, Aberdeen Proving Ground, MD 21010. USAEHA will accomplish: (1) a technical review of each NPDES permit received, (2) provide advice or assistance to the installation commander, (3) through appropriate command channels establish liaison with the EPA, as necessary, to clarify and discuss permit conditions, and (4) provide written comment back to the permittee for subsequent passage of written comments to the appropriate EPA

Regional Office. Installation commanders will report potential problems arising from the terms of the permits which could impact on the operational capability of the installation to the HQDA (DAEN-FEU) Washington, DC 20314 through appropriate command channels. In addition, the permits will contain instructions pertaining to reporting changes in quality or quantity of wastewater.

(d) *Monitoring reports.* The terms of the permit will, in general, require the monitoring of all wastewater discharges and a periodic report to the EPA Regional Administrator, National Pollutant Discharge Elimination System Discharge Monitoring Report (RCS EPA-1002). In order to determine the effectiveness of the treatment and monitoring programs, copies of all monitoring reports will be forwarded to the USAEHA, ATTN: HSE-EW Aberdeen Proving Ground, MD 21010. Reports are made in accordance with frequency prescribed by each NPDES permit on form EPA 3320-1 (10-72). Forms are available from appropriate EPA Regional Office. (See figure 9-1 and table 9-3 for location and addresses).

(e) *Compliance schedules.* (1) NPDES permits will contain a schedule of compliance with regard to any discharge which is not in compliance with applicable effluent standards and limitations, applicable water quality standards, and other applicable requirements. This schedule will be rigidly enforced. The terms of the permit will, in general, require that the permittee provide the EPA Regional Administrator with written notice of the permittee's compliance not later than 14 days following each interim date of compliance. Copies of this notice will be provided to the operating command and to USAEHA.

(2) In the event of noncompliance with the interim or final requirements, the permittee will immediately provide written notification to the EPA Regional Administrator with information copies to the appropriate operating command, USAEHA and DAEN-ZCE and where necessary, will request a revision to the compliance schedule following the procedure established under 40 CFR 125.23.

(f) *Installations discharging to regional or municipal treatment works.* Permits are not normally required for discharge of domestic wastewater to regional or municipal sewage treatment facilities. However, those installations which find that pretreatment prior to discharge is required may be required to file for a permit.

(g) *Inspections.* The EPA Regional Administrator may, under authority of 40 CFR 125.13 and 125.22, make site visits and inspections (1) for the purpose of evaluating facilities prior to issuance of an NPDES permit and (2) for the purpose of monitoring compliance with the terms of an issued permit.

(h) *Cooperation with state and regional authorities.* The EPA Regional Administrator, or his designated representative has full and legal authority to make site inspections of Army facilities.

However, installation commanders will on the basis of reasonable, specific requests extend the same privileges to authorized state and regional pollution control authorities.

(1) **Security restrictions.** When representatives from Federal, State, or regional environmental pollution control agencies inspect facilities, examine operating records, and make tests to determine adherence to environmental performance specifications, security requirement must be met and the inspectors will be accompanied by either engineer or medical technical representatives designated by the appropriate major Army commander.

(j) **Information requests.** The EPA regional office is the responsible Federal agency regarding enforcement of all water pollution control requirements at Federal facilities in that region. Water pollution control information emanating from Federal facilities should go through the applicable EPA regional office. Therefore, requests for permit related information by state or regional authorities or by responsible members of the general public, should be directed to the applicable EPA regional office (Subpart A of this part).

§ 650.67 Ocean dumping permits.

Permits for the dumping or discharge of materials into ocean waters, other than transportation of dredged material for purpose of dumping in ocean waters, are issued by the EPA. There are two types of permits, one which governs a general category of dumping and one which governs the dumping of special materials. The Administrator of EPA can issue general permits. The authority for issuing most special permits has been delegated to the EPA Regional Offices. Controls governing ocean dumping can be found in 40 CFR Parts 220 through 227, "Regulations and Criteria, Transportation for Dumping, and Dumping of Material into Ocean Waters." Most permits require information on the type of pollutant or effluent being discharged or dumped, its quantity and frequency and location of discharge. Permits require monitoring and documentation.

§ 650.68 Corps of Engineers permits.

The construction of any structure in or over a navigable water of the United States, the excavating from or depositing of dredged or fill material in such waters, the accomplishment of any other work affecting the course, condition, location, or capacity of such waters, the discharge of dredged or fill material in navigable waters, and the transportation of dredged material for the purpose of dumping it in ocean waters requires a permit from the Corps of Engineers and will be processed in accordance with 33 CFR 229.120. Application for this permit is made to the local District Engineer. Applications are available from Corps of Engineers District Offices and will be completed for all projects or activities not under the design and supervision of the Chief of Engineers.

§ 650.69 State permits.

(a) Cooperating with and providing information to State and regional authorities does not include making application for State permits of any kind nor obtaining a water quality certification from the State for any activity involving the discharge of a pollutant into navigable waters. Where information or data is to be provided a State authority on a prescribed registration form and authenticated, Army installation commanders will comply with all reasonable requests and forward same with a disclaimer that:

While Federal law does not require military installations to apply for State permits or obtain State water quality certifications, this installation is desirous of complying with the objectives of State and Federal pollution control programs. However, completion of this form is not to be construed as an application for permit. To the best of my knowledge, the information presented herein is correct.

Under unusual circumstances, when the installation commander considers it prudent to respond contrary to the above guidance, request for waiver will be submitted through appropriate command channels to HQDA (DAEN-ZCE) WASH DC 20310.

(b) In all cases, waiver request will include a legal opinion by the staff judge advocate of the installation concerned or of the next higher command having a staff judge advocate to insure legal sufficiency. Special attention should be given to questions involving registration of sources and compliance schedules to insure that the legal implications of such instruments are understood.

§ 650.70 Operation training and certification.

(a) Operators of water treatment works and sewage treatment works shall meet levels of proficiency consistent with operator certification requirements applicable to the State or region in which the facility is located. (AR 420-15, Certification of Utility Plant Operators and Personnel Performing Inspection and Testing of Vertical Lift Devices).

(b) Necessary training of water treatment works and sewage treatment works operators will be accomplished through programs sponsored by the State in which the facility is located. In the absence of such State or regional programs, training will be accomplished at qualified institutions designated by the Major Army Command (MACOM).

§ 650.71 Waivers.

(a) No action which is contrary to the provisions contained in this subpart will be taken without first obtaining a waiver of the requirement from HQDA (DAEN-ZCE) WASH DC 20310.

(b) Waivers may be granted only if the President or the Administrator of EPA finds that the technology to implement such standards is not available or operation of the facilities in question is required for reasons of national security. Requests for such waivers will not

be considered by HQDA unless it can be clearly and conclusively demonstrated that operation of the facilities in question and the proposed construction or modification meets the above criteria. Requests for waivers will be forwarded through command channels to HQDA (DAEN-ZCE) WASH DC 20310.

§ 650.72 Investigation of complaints.

Each operating commander will establish procedures to investigate water pollution complaints and allegations from individuals and water pollution control authorities. In the case of a legal action of potential legal action, the matter will be reported immediately through Judge Advocate General channels to HQDA (DAJA-RL) WASH DC 20310.

§ 650.73 Water Pollution Control Report—(RCS DD-I&L (SA) 1088).

(a) The water pollution control report portion of the Environmental Protection Control Report is designed to provide HQDA with data on a phased and coordinated plan for control and abatement of water pollution for submission to OSD and OMB; and for development of the five-year Army Environmental Program. Detailed instructions for preparing and submitting this report are provided in Subpart J of this part.

(b) The report will cover all portions of the water pollution control program where expenditure of funds for corrective actions is required. This includes all fixed facilities, monitoring equipment, watercraft and other mobile facilities.

Subpart D—Air Pollution Abatement

GENERAL

§ 650.81 Purpose.

The provisions contained in this chapter implement the Clean Air Act of 1970 (Pub. L. 91-604 as amended) and the applicable Federal and State Regulations issued pursuant to this Act; Executive Order 11752, Prevention, Control, and Abatement of Environmental Pollution at Federal Facilities; and DOD Instruction 4120.14, Air and Water Pollution Control.

§ 650.82 Goal and objectives.

It is the Department of the Army's goal to reduce the emission of pollutants into the air from both stationary and mobile sources to the lowest practicable limits, and at the earliest practicable date. Objectives for obtaining this goal are to—

(a) Identify air pollution emission sources, determine the kinds and amounts of pollutant emissions, and reduce pollutant levels to those specified by Federal, State, interstate, or local substantive standards.

(b) Procure commercial equipment and vehicles with internal combustion engines that meet emission standards, except for combat vehicles specifically excluded by Environmental Protection Agency (EPA) regulations.

(c) Insure that each piece of military equipment is designed, operated, and maintained so that it meets air emission standards unless specifically exempted.

§ 650.83 Explanation of terms.

(a) *Ambient air quality standards.* Those standards established pursuant to the Clean Air Act, for protecting public health and welfare.

(b) *Emission standards.* Permissible limits of emissions established by Federal, State, interstate and local authorities to achieve ambient air quality standards.

(c) *Implementation plans.* Plans developed and administered by a State to designate the methods used to implement, maintain, and enforce ambient air quality standards in air quality control regions. The plans present an inventory of emissions and their source; a comparison of current emissions with current ambient air quality conditions; amount of emission reduction necessary to attain the ambient air quality standards for each category of emission sources; and plans, including transportation control plans, for achieving emission reductions.

(d) *Mobile sources.* Vehicles, aircraft, watercraft, construction equipment and other equipment using internal combustion engines as the means of propulsion.

(e) *Monitoring.* The assessment of emissions and ambient air quality conditions, using techniques such as emission estimates, visible emission reading, diffusion or dispersion estimates, sampling, or measurement with analytical instruments.

(f) *Motor vehicle.* Any self-propelled vehicle designed for transporting persons or property on a street or highway (sec. 213, Clean Air Act). Further defined in 40 CFR Part 85.

(g) *National Emission Standards for Hazardous Air Pollutants.* EPA emission standards established for specified hazardous air pollutants emitted by both new and existing stationary sources. (Sec. 112, Clean Air Act.)

(h) *Parking facility.* Any off-street area or space, lot, garage, building or structure, or combination or portion thereof, in or on which motor vehicles are parked.

(i) *Standards of performance for new stationary sources.* Emission standards established for specified pollutant sources, such as industrial facilities (Sec. 111, Clean Air Act).

§ 650.84 Policies.

(a) Control and monitor fixed air pollutant sources to insure compliance with Federal, State, interstate and local substantive air emission standards.

(b) Monitor ambient air quality in the vicinity of Army industrial-type activities, or cooperate with others in such monitoring to determine whether current ambient air standards are being met.

(c) Control emissions from mobile sources in accordance with Federal regulations or by State regulations when authorized by law.

(d) Cooperate with Regional EPA and State authorities in achieving the objectives of State Air Quality Control Plans through the formulation and coordination of installation Air Quality Control Plans and Transportation Control Plans.

(e) Participate with local authorities, to the fullest extent practicable, in controlling air emissions during emergency air pollution episodes.

§ 650.85 Responsibilities.

(a) The Chief of Engineers will—(1) Publish the basic policies and procedures for the identification, reporting, and programming of projects to control and monitor air pollutants emitted by Army fixed facilities and mobile sources, including aircraft and watercraft (DAEN-ZCE).

(2) Report requirements for projects to control sources of air pollution and the installation of air quality monitoring systems in accordance with this regulation and DOD Instruction 4120.14.

(3) Process requests for exemption from compliance in accordance with the provisions of the Clean Air Act and Executive Order 11752.

(4) Include in the Army R&D Program such research as may be needed or required for the development of technology to control Army-unique air pollutants.

(5) Perform technical review and evaluation of remedial projects for the control of existing sources of air pollution at fixed facilities and insure that provisions are made for air pollution control in the design of new structures and facilities.

(6) Coordinate the requirement of the adoption of new air emission standards for the Army fixed facilities with The Surgeon General.

(7) Provide technical advice and assistance for the control of air pollution in the operation and maintenance of fixed facilities.

(b) The Deputy Chief of Staff for Logistics will issue implementing policies, procedures and instructions for the control of air pollution which pertain to the maintenance, repair and modification of mobile sources including vehicles, aircraft and watercraft.

(c) The Deputy Chief of Staff for Research, Development and Acquisition will—(1) Conduct research and development programs designed to provide low-pollution, high efficiency engines for Army vehicles, mobile power sources, aircraft, and watercraft; and for the development of clean burning fuels.

(2) Incorporate air pollution controls, where required, in the development of new equipment and weapons systems to the maximum extent possible without degrading the operational capabilities to an unacceptable level.

(3) Insure that mobile equipment and engines developed for the Army comply with applicable current and projected Federal emission standards to the extent that priority defense and national security requirements permit.

(d) The Surgeon General, will—(1) Monitor the health and welfare aspects of the air pollution control program within the Department of the Army.

(2) Issue health and medical policy guidance on air pollution control and abatement.

(3) Consult with COE and appropriate commanders in the establishment of air pollution control standards which are unique to the Army.

(4) Provide staff assistance and guidance on the health and environmental aspects of management of hazardous and toxic air pollutants.

(5) Provide support to the basic Army R&D Program in terms of identification/designation of R&D needs.

(6) Review proposed Federal, State, interstate and local emission/ambient air quality standards and coordinate DA input to the standard-setting process.

(e) Major Army commanders will—(1) Develop a program, consistent with this regulation and DOD guidelines to control and monitor air pollutant emissions from fixed and mobile facilities to comply with applicable Federal, State, interstate and local emission standards and ambient air quality standards.

(2) Insure that personnel having responsibilities for controlling air pollution emissions (e.g. equipment operators and mechanics, heating plant operators, etc.) are properly trained to perform such duties. Further, provide training in the inspection, test and maintenance of pollution control devices and emissions measurement equipment.

(f) Commanding General, US Army Materiel Command. In addition to responsibilities assigned in paragraph (e) of this section, the Commanding General, US Army Materiel Command will—

(1) Require that Army materiel equipped with internal combustion engines meet air emission standards in effect at the time of manufacture as required by Federal or State regulations.

(2) Insure that the manufacture, shipment, operation, maintenance and final disposition of the materiel can be accomplished with a minimum emission of air pollutants.

(3) Provide in technical publications appropriate information and instructions on air pollution controls for engine driven equipment and on maintenance and monitoring procedures for minimizing pollutant emissions.

(g) Commanding General, US Health Services Command will—(1) Assist The Surgeon General in fulfilling his responsibilities for the health and welfare aspects of the air pollution control programs.

(2) Provide personnel for conducting field investigations and special studies on sources of air pollution and for recommending measures required to protect health and welfare, and to comply with stationary or mobile emission standards or ambient air quality standards (§ 650.82).

(h) Installation and activity commanders will—(1) Monitor air emission sources within their installations or under their control and identify air emission sources requiring remedial action to insure compliance with emission standards and ambient air quality standards.

(2) Program remedial projects and funds to control and monitor air emission sources and ambient air quality to insure compliance with emission standards and ambient air quality standards.

(3) Cooperate with local representatives of Federal, State and regional agencies in the formulation and execution of

projects and activities related to abatement of air pollution to include instituting emergency measures required during air pollution episodes.

(4) Monitor the operation of motor vehicles to permit compliance with applicable Federal or State emission standards; or in the absence of applicable standards, to minimize smoke emissions.

(5) Continue mechanic and operator training programs in the prevention, control and abatement of pollution from mobile equipment.

§ 650.86 Reports.

Sources of air pollution will be identified and those requiring remedial action will be reported as specified in Subpart J of this part. An example of an exhibit prepared on a facility found not to be in compliance with specified standards is shown in figure 10-3.

§ 650.87 References.

See table 4-1 for related publications to be used in conjunction with this subpart.

STANDARDS AND PROCEDURES

§ 650.88 Standards.

(a) *General.* (1) The Clean Air Act establishes the legal basis for improving air quality and maintaining air quality for the protection of public health and welfare. Included in its provisions are the establishment of Air Quality Control Regions, which are approximately 250 in number; the establishment of National Ambient Air Quality Standards to identify the acceptable health and welfare levels which will be permitted for a given pollutant; allowable significant air quality deterioration zones which set the allowable amount of air quality deterioration; and the preparation of Implementation Plans by each State to provide for the attainment of primary standards by July 1, 1975 and secondary standards within a reasonable time. The Act also requires EPA to set Standards of Performance for new or modified sources of pollution; establishing source emission standards for hazardous air pollutants such as asbestos, beryllium and mercury; and controlling motor vehicle emissions.

(2) *National Ambient Air Quality Standards* prescribe maximum pollutant levels for particulate matter, sulfur oxides, carbon monoxide, photo chemical oxidants, hydrocarbons and nitrogen oxides (40 CFR Part 50). In all instances the States in their Implementation Plans have specified strict ambient air quality standards and established maximum levels for each pollutant based on the type of source. It is the applicable State standard that is to be achieved by each Army facility.

(b) *Fixed facilities.* (1) *Existing Sources.* Individual pollutants are to be controlled in accordance with national primary and secondary air quality emission standards, normally those promulgated by a State. The basic reference is 40 CFR Part 50.

(2) *New sources.* Specific Federal emission standards are applicable to certain types of new facilities such as large

fossil fuel-fired steam generators, incinerators, sulfuric and nitric acid plants, etc. Detailed information is contained in 40 CFR Part 60.

(3) *Air quality control regions.* Air quality control regions, criteria, and control techniques are given in 40 CFR Part 81.

(4) *Hazardous air pollutants.* Certain hazardous air pollutants as such asbestos, beryllium and mercury, which must be closely controlled are identified in Federal regulations promulgated by EPA. Refer to 40 CFR Part 61 and § 650.132 for guidance on control of asbestos during demolition and prohibition on use of sprayed asbestos materials for any purpose.

(c) *Mobile sources.* (1) *Commercial or commercially-adapted vehicles.* The manufacturer is required to certify these vehicles as meeting established emission standards of the year of manufacture. Basic reference is 40 CFR Part 85.

(2) *Military vehicles.* Certain military vehicles are excluded from the provisions of the Clean Air Act. Those not excluded will be certified by the manufacturer as meeting standards of the year of manufacture. Basic reference is 40 CFR Part 85.

(3) *Replacement engines.* (40 CFR Part 85).

(i) Light duty will meet the standards imposed at the year of vehicle manufacture.

(ii) Heavy duty will meet the standards imposed at the year of engine manufacture.

(4) *Aircraft.* Commercial or commercially adapted aircraft will comply with standards applicable to commercial aircraft in year of manufacture. Basic reference is 40 CFR Part 87.

§ 650.89 Assessment of air quality.

The impact of emissions produced by the operation of fixed and mobile sources on air quality will be included in an Environmental Impact Assessment (EIA) or Environmental Impact Statement (EIS) of any Army proposed action. Specific information as to existing regional air quality will be provided along with the changes or impact produced by the planned action. See also § 650.91 (b) on significant air quality deterioration zones for additional guidance. Particular attention will be given to vehicle emissions from both military and privately owned vehicles which, along with the vehicles in a nearby community, may constitute a significant source of air quality degradation and health hazard.

§ 650.90 Air pollution sources.

Common sources of air pollution which must be controlled include—:

- (a) Heating plants over one million BTU per hour input.
- (b) Incinerators.
- (c) Large electrical power generating plants.
- (d) Manufacturing processes/acid production facilities.
- (e) Metal cleaning and treatment operations.
- (f) Spray painting operations.

(g) POL storage and dispensing facilities.

§ 650.91 Air pollution abatement and control.

(a) Existing fixed sources of air emission are subject to Federal and State standards promulgated under the Clean Air Act. Those facilities found not to be in compliance with such standards are to be promptly identified and reported in accordance with the procedures outlined in Subpart J of this part. The programming and budgeting for remedial projects will conform with established procedures as in AR's 37-40, 415-15, 415-25 and 420-10.

(b) New fixed sources or major modification to existing facilities which are a source of air emissions will be designed in accordance with applicable standards. Consultation with or review by State authorities on such projects will be through the Regional Administrator of EPA at the earliest practicable time in the planning process. Further, the State air pollution control agencies will establish significant air quality deterioration zones to control the introduction of pollutants into a specified area. Deterioration zones apply only to specific category of sources such as acid plants and power plants. Applicable air pollutants are particulate matter and SO₂ only. Zones will be established by the state and are as follows:

- Zone I—Very little to zero deterioration.
- Zone II—Moderate deterioration.
- Zone III—May deteriorate up to the national maximum.

Implementation of these standards is now through the state review of preconstruction plans. This regulation significantly increases the power of states to control land use patterns. Therefore, all Army plans for development and expansion of facilities must consider the deterioration zone within which the affected installation is located. (40 CFR Part 52).

(c) Emissions from new mobile sources such as vehicle and aircraft engines will be regulated at the time of manufacture and certified in accordance with Federal regulations issued by EPA. The alteration or removal of such emission controls installed on Army equipment is prohibited.

(d) The retrofit of military vehicles not equipped with emission control devices at the time of manufacture may be required by State regulation. Commanders of installations where such controls are required will take appropriate action to have such vehicles retrofitted and to insure that vehicles without emission controls are not operated unless a waiver or exemption as specified in § 650.95 is approved.

§ 650.92 Air emission monitoring and reporting.

(a) *Fixed sources.* Air emissions will be monitored in accordance with EPA approved State, regional or local regulations. The more common pollutants that are monitored include particulates, sulfur dioxide, carbon monoxide, oxides of nitrogen, hydrocarbons and photochemical oxidants. Mandatory monitoring is

imposed where more toxic emissions, such as nitric and sulfuric acid mists and asbestos, are released to the atmosphere. Such records on emissions as may be specified by EPA will be maintained and submitted as required.

(b) *Mobile sources.* The periodic monitoring of vehicle emissions serves to verify the effectiveness of emission controls and engine combustion efficiency. Installations having large vehicle fleets are encouraged to institute such monitoring procedures. No reports are required for these emission monitoring operations.

(c) *Technical assistance.* Technical assistance relating to health and welfare considerations of air pollution problems can be obtained from Commander, US Army Health Services Command (HSC-PA), Fort Sam Houston, TX 78234. Specific services available include:—

(1) Collection of pollutant emission data, operating criteria and performance standards for air pollution abatement equipment.

(2) Consultation on current Federal and State air quality regulations, standards and monitoring instrumentation.

(3) Source and ambient air evaluations to demonstrate compliance of existing sources with air quality regulations or standards.

(4) Provide assistance in collection and interpretation of air quality data for development of EIA or EIS.

§ 650.93 EPA Air Pollution Project review.

(a) The following type projects require review by the EPA Regional Administrator for compliance with air pollution control standards prior to the initiation of construction:

(1) Large industrial or manufacturing facilities.

(2) Certain new parking facilities to be constructed in areas covered by Standard Metropolitan Statistical Areas and Transportation Control Plans (38 major urban areas) are subject to pre-construction review by the EPA Regional Administrator (40 CFR Part 52). A review is required for parking facilities having a capacity of 250 or more vehicles, or where special restrictions are imposed on any additional parking. In such instances, an EPA permit must be obtained for new or modification of existing parking facilities which results in a net increase of 250 or more spaces when construction commences after January 1, 1975 or when a construction contract is signed after January 1, 1975. The basic references for state implementation plans and Transportation Control Plans are 40 CFR Part 51 and 40 CFR Part 52 respectively.

(b) At the request of the installation commander, such reviews may be coordinated with the Regional EPA office by the supporting Corps of Engineers District Office.

§ 650.94 Compliance schedules.

(a) A compliance schedule is required for each existing fixed source of air pollution which exceeds applicable standards. Such a schedule contains a chronological list of dates (milestones) for each

major action to be completed within the overall plan to bring a polluting source into compliance.

(b) Compliance schedules are negotiated by installation representatives with EPA Regional Offices and State air pollution control authorities. Once approved by EPA, the specified date when the facility will comply with air emission standards becomes legally binding on the installation commander. Further, the installation is required to inform the appropriate EPA Regional Office and State authority in writing of any foreseen delays in meeting the intermediate dates contained in the compliance schedule and the reasons therefore prior to the scheduled completion date. When it becomes apparent that the ultimate compliance date can not be met for reasons beyond the control of the installation commander, a revised compliance schedule should be renegotiated with the State. In such cases the EPA Regional Administrator will be notified as soon as possible since only EPA has the final authority to approve compliance schedules which go beyond the final compliance date. If renegotiation of a compliance schedule is rejected by EPA, the installation commander may forward a request for an exemption (§ 650.95) from compliance from standards when continued operation of the facility is essential to the conduct of the DA mission.

§ 650.95 Exemptions.

(a) An exemption from compliance with air pollutant emissions may only be requested for existing facilities. New facilities are to be designed to meet established standards.

(b) Requests for exemption from the Clean Air Act and regulations promulgated pursuant to the Act will be based on the continued operation of a particular facility being in the interests of national security and upon the requirements of Executive Order 11752. Such requests will be forwarded through channels to HQDA (DAEN-ZCE), WASH DC 20310 for necessary action.

(c) Requests for exemption for mobile sources (vehicles) will be handled in accordance with AR 750-20.

§ 650.96 Transportation Control Plans.

(a) In addition to regulating the emissions from fixed sources, it may be necessary for a State to impose controls over transportation in order to achieve national ambient air standards. Large metropolitan areas, such as Los Angeles, California and Baltimore, Maryland are having to resort to such measures because the major portion of air pollution in those areas is caused by motor vehicles.

(b) Military installations and activities located within the area defined in EPA approved Transportation Control Plans are required to cooperate with local authorities in reducing vehicular traffic consistent with military requirements. Although the overall requirement is to reduce both military and civilian traffic, primary emphasis should be on reducing the use of privately owned

vehicles. Consequently, Installation Transportation Control Plans which may be required for a particular region by Federal Regulations should be prepared and implemented as deemed necessary. Various control measures that should be considered include:

(1) instituting a command carpooling with carpool locator program,

(2) encouraging the use or expansion of public transportation service,

(3) restricting available parking areas to promote carpooling,

(4) issuing preferred parking spaces to carpool cars, and

(5) encourage the use of bicycles/walking for short on-post trips.

(c) Information regarding the existence of approved metropolitan Transportation Control Plans may be obtained from local air pollution control authorities or the Regional EPA Administrator.

§ 650.97 Emergency air pollution episodes.

(a) Army installations or activities located in areas susceptible to air pollution episodes (smog conditions) will cooperate with local authorities in reducing air emissions during such emergency periods. Specific contingency plans are to be developed for these emergencies to provide for: (1) the curtailment of all but essential services; (2) to provide for required mission activities; (3) announcement of notification procedures; and (4) instructions on those control measures to be invoked during the various phases of such episodes.

(b) The following control measures are to be considered in such contingency plans:

(1) Restrict use of private automobiles by requiring car pools or use of mass transit facilities.

(2) Conduct an educational program on the hazards of air pollution episodes.

(3) Publicize episode warnings and notification procedures.

(4) Postpone all except mission-essential activities which produce air emissions; e.g., vehicle use, operation of incinerators, etc.

(5) Grant personnel administrative leave, but only as a last resort. This action will be coordinated with other DOD and Federal installations in the affected area.

(c) Government assets provided a contractor managing a government-owned facility, are subject to the same use restrictions during an emergency air pollution episode as those imposed on a contractor by a State on the use of his private assets.

TABLE 4-1. RELATED PUBLICATIONS

Clean Air Act (42 U.S.C. 1857 et seq., as amended by the Air Quality Act of 1967, Pub. L. 90-148, by the Clean Air Amendments of 1970, Pub. L. 91-604, and by Technical Amendments to the Clean Air Act, Pub. L. 92-157).

AR 37-13 Economic Analysis and Program Evaluation of Resources Management.

AR 37-40 Army Production Base Support Program Report (RCS CSGLD-1123(R1) (MIN))

- AR 40-4 Army Medical Department Facilities/Activities.
- AR 70-15 Product Improvement of Material.
- AR 310-50 Family Housing Management.
- AR 405-45 Inventory of Military Real Property.
- AR 415-15 MCA Program Development.
- AR 415-25 Real Property Facilities for Research, Development, Test and Evaluation (RHTE).
- AR 415-35 Minor Construction.
- AR 420-10 General Provisions, Organization, Functions, and Personnel.
- AR 750-20 Prevention, Control, and Abatement of Pollution from Mobile Equipment.

Subpart E—Waste Management
[Reserved]

Subpart F—Hazardous and Toxic Materials Management

GENERAL

§ 650.121 Purpose.

The provisions contained in this chapter implement the requirements of the Atomic Energy Act, as amended; Clean Air Act, as amended; the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) as amended by the Federal Environmental Pesticide Control Act (FEPCA) of 1972; the Federal Water Pollution Control Act (FWPCA), as amended; the Marine Protection, Research and Sanctuaries Act of 1973 (MPRSA)—Ocean Dumping; and the Solid Waste Disposal Act (SWDA), as amended. Detailed guidance on oil and hazardous liquid substances spill prevention and contingency plans appears in Subpart I of this part.

§ 650.122 Goal and objectives.

The Department of the Army (DA) goal is to control hazardous and toxic materials to minimize hazards to health and damage to the environment. The following objectives are necessary to achieve this goal:

(a) All material developed and procured by the Army is to be designed to minimize health and environmental hazards during research, development, testing, production, use, storage, and disposal.

(b) Limit, to the extent practicable, the use of toxic and/or hazardous materials, and employ procedures which provide maximum safety during storage, use, and disposal when less toxic or hazardous substitutes are not available.

(c) Develop safe and environmentally acceptable methods for the storage and disposal of materials which are inherently hazardous or potentially dangerous due to the quantities involved.

(d) Provide properly trained personnel for the management, use, storage, and disposal of hazardous and toxic materials.

§ 650.123 Explanation of terms.

(a) *Certification*. The recognition by a certifying agency that a person is competent and thus authorized to use and supervise the use of restricted use pesticides.

(b) *Certified applicator*. Any individual who is certified to use or supervise the use of any restricted use pesticide covered by his certification.

(c) *Class 1 disposal site*. The location (e.g., sanitary landfill) where any final deposition of hazardous or toxic waste, after proper processing, may occur. Such a facility complies with EPA guidelines for the disposal of solid wastes as prescribed in 40 CFR Part 241.

(d) *Disposal*. To abandon, deposit, inter or otherwise discard waste as a final action after its use has been achieved, a use is no longer intended, or its use has been declared excess, suspended or cancelled.

(e) *Effluent standard*. A state or federal effluent standard or limitation to which a discharge is subject under the FWPCA amendments of 1972. Including, but not limited to, effluent limitations, standards of performance, toxic effluent standards and prohibitions, and pretreatment standards. This includes a prohibition of any discharge established, for any toxic pollutant described in 307(a) of the FWPCA as amended.

(f) *Hazardous and toxic material management*. For environmental purposes, the systematic and purposeful control over the production, procurement, storage, handling, use, and disposal of materials or substances which are either hazardous to life because of their inherent toxicity or a potential danger because of the quantities involved.

(g) *Hazardous substance*. An element or compound or mixture (other than oil as covered in Subpart I of this part) which, when discharged in any quantity into or upon the navigable or coastal waters, presents an imminent and substantial danger to the public health or welfare, including fish, shellfish, wildlife, shoreline, and beaches, e.g., hazardous substances include some strong acids, strong bases, organic solvents, certain metals and their compounds, other strong oxidizers, or other bulk-stored chemicals used in manufacturing processes and maintenance or repair operations. (Designation of and determination of removability of hazardous substances will be addressed in 40 CFR Part 116).

(h) *Hazardous waste*. Any waste or combination of wastes which, if not effectively controlled, poses a potential hazard to human health or living organisms because they are nondegradable, persistent in nature, lethal, or may otherwise cause or tend to cause detrimental cumulative effects. Such materials include wastes which are corrosive, flammable, toxic, irritants, strong sensitizers or which generate pressure through decomposition, heat or other means.

(i) *Ocean dumping*. The disposal of hazardous or toxic materials (including pesticides, pesticide containers, pesticide-related wastes, other hazardous chemical stocks, pharmaceutical stocks of drugs, radioactive materials, explosive ordnance or chemical warfare agents) in or on the oceans and seas as defined in the MPRSA (Pub. L. 92-532).

(j) *Open burning*. The disposal by burning of hazardous or toxic materials

or their wastes in any fashion other than by incineration in an approved hazardous waste incinerator.

(k) *Open dumping*. The placing of hazardous or toxic materials or their wastes in a land site in a manner which does not protect the environment and is exposed to the elements, vectors, and scavengers.

(l) *Pest*. Includes, but is not limited to, any insect, rodent, nematode, fungus, weed, or any form of plant or animal life or virus, bacterial organism or other micro-organism (except viruses, bacteria, or other micro-organisms on or in living man or other animals) which is normally considered to be a pest or which the Army may declare to be a pest in accordance with public law or national policy.

(m) *Pest management*. Pest control in which one or more control methods are selected for use in an integrated program that incorporates a series of alternative control strategies including parasites, predators, pathogens, cultural practices and chemicals, to achieve economic pest control with least disruption of the environment.

(n) *Pesticide*. Any substance or mixture of substances intended for preventing, destroying, repelling, attracting, or mitigating any pest and any substances or mixture of substances intended for use as a plant regulator, defoliant, or desiccant.

(o) *Pesticide-related wastes*. All pesticide-containing wastes or pesticide-containing by-products which are to be discarded, but which, pursuant to acceptable pesticide manufacturing or processing operations, are not ordinarily a part of or contained within an industrial waste stream discharged into a sewer or the waters of a State.

(p) *Processing*. To neutralize, detoxify, incinerate, biodegrade, or otherwise treat a hazardous or toxic waste to remove its harmful properties or characteristics for disposal.

(q) *Restricted use pesticide*. A pesticide that is classified for restricted use under the provisions of section 3(d)(1) (C) of the Federal Insecticide, Fungicide, and Rodenticide Act, as amended (7 U.S.C. 135 et seq.) and other legislation supplementary thereto and amendatory itself.

(r) *Soil injection*. The emplacement of hazardous or toxic materials or their wastes by ordinary tillage practices within the plow layer of a soil.

(s) *Toxicity*. The property of a substance or mixture of substances to cause any adverse physiological effects on any of the biological mechanisms of an organism.

(t) *Toxic pollutant*. Pollutants or combinations of substances (including disease-causing agents) which, after discharge and upon exposure, ingestion, inhalation, or assimilation into any organism—either directly from the environment or indirectly by ingestion through food chains—will cause death, disease, behavioral abnormalities, cancer, genetic mutations, physiological malfunctions (including malfunctions in reproduction) or physical deformations in

such organisms or their offspring. (A list of toxic pollutants will be given in 40 CFR Part 129).

(u) *Waste.* Any material for which no use or re-use is intended and which is to be discarded.

(v) *Water dumping.* The disposal of hazardous or toxic materials or their wastes in or on lakes, ponds, rivers, sewers, or other water systems as defined in the FWPCA (33 U.S.C. 1251 et seq.)

§ 650.124 Policies.

The Department of the Army will—

(a) Exercise positive management over the research, development, procurement, production, use, handling, storage and disposal of hazardous and toxic material. Priority will be given to instituting measures required to protect health or control pollution.

(b) Comply with environmental quality policies and procedures specified in this regulation and those standards established by the applicable Federal, State, interstate, or local authority for the control of hazardous and toxic materials and substances.

(c) Use nonhazardous or nontoxic materials to the extent practicable.

(d) Conserve resources and, to the extent practicable, dispose of hazardous and toxic materials and waste by reprocessing, recycling, and/or re-using.

(e) Program and budget sufficient resources for the effective management and environmental control of pesticides, hazardous chemical stocks, pharmaceuticals, radioactive materials, explosives, and chemical agents in accordance with DA regulations and in consonance with any other applicable Federal, State, or local objectives.

(f) Conform with Federal regulations and guidelines respecting pesticides, promulgated pursuant to the provisions of FIFRA as amended, (§§ 650.126–650.129).

(g) Acquire and use only those pesticides registered with the Environmental Protection Agency (EPA) (§ 650.126(a)).

(h) Monitor for the residual effects of pesticides on military installations in furtherance of the National Pesticide Monitoring Program.

(i) Conform with applicable Federal regulations, standards, and guidelines promulgated and adopted in accordance with the Atomic Energy Act, as amended (42 U.S.C. 2011), or by EPA on discharges of radioactivity. This restriction does not apply to emergency operations conducted by Explosive Ordnance Disposal or Technical Escort personnel (§§ 650.139, 650.140 and 650.141).

(j) Prohibit the disposal (by open dumping, water dumping, well injection, or open burning) of pesticides, hazardous chemical stocks, pharmaceutical stocks and drugs, radioactive materials, explosive ordnance, or chemical warfare agents directly into the air, water, or land environment in a manner hazardous to man or animals or if it will cause unreasonable adverse effects on the environment (§ 650.127(f)).

(k) Conform with Federal regulations and guidelines respecting dumping of

material into ocean waters in accordance with the MPRSA and the FWPCA as amended.

(l) In the absence of published national standards, guidance on acceptable methods and maximum concentrations pertaining to the use, storage, discharge or disposal of hazardous and toxic substances are to be referred through Major Command Headquarters to the USA Health Services Command.

§ 650.125 Responsibilities.

(a) Department of the Army Staff.

(1) The Inspector General and Auditor General will—(i) Exercise primary Army Staff responsibility for overall supervision of Army safety program activities as established by AR-385-10.

(ii) Provide assistance and guidance on the safety aspects of the storage, use, handling, and disposal of hazardous and toxic substances.

(2) The Deputy Chief of Staff for Operations and Plans will—(i) Insure that Required Operational Capability (ROC) documentation for new material involving potentially hazardous materials requires that safe and environmentally acceptable methods for storage and disposal of these materials be developed or included as part of procurement specifications.

(ii) Provide single DA contact point for all chemical warfare activities including demilitarization and disposal.

(3) The Deputy Chief of Staff for Research, Development and Acquisition will insure that all materiel developed by the Army is designed to minimize health and environmental hazards during research and development, production, testing, storage, use and disposal.

(4) The Chief of Engineers will—(i) Exercise primary Army Staff responsibility for coordinating guidance and promulgating environmental protection regulations concerning hazardous and toxic material management within the Army.

(ii) Provide technical instructions and guidance on the implementation of pest management programs.

(iii) Coordinate with The Surgeon General to establish Army criteria, instructions, and corrective measures involving pollution from hazardous and toxic materials.

(iv) Promote the reclamation, recycling, or safe disposal of excess and outdated chemicals, particularly the stocks of cancelled or excess pesticides and superseded chemicals.

(5) The Surgeon General will—(i) Establish health criteria and standards and monitor health and welfare aspects of the hazardous and toxic material management program.

(ii) Develop environmental toxicology data and recommend standards for safe storage, use, discharge and disposal of hazardous and toxic materials.

(iii) Provide technical instructions and guidance for the DA pest management programs in disease vector control, pesticide monitoring, health, safety, and the training of insecticide and rodenticide applicators.

(iv) Coordinate with the Chief of Engineers in establishing criteria, instructions, and corrective measures involving pollution from hazardous and toxic materials.

(6) The Judge Advocate General will provide guidance, as required, on interpretation of FIFRA, FEPCA, FWPCA, MPRSA, SWMA and other Federal, State, and local laws and regulations.

(b) Commanding General, US Army Materiel Command (AMC) will—

(1) Establish training programs for logistical personnel involved in the production, testing, and storage of explosives and chemical munitions and for those handling radioactive materials, hazardous and toxic chemicals, and products.

(2) Conduct research and technological investigations in support of the hazardous and toxic materials pollution abatement efforts related to industrial facilities operated by AMC. This includes development of alternative less polluting industrial processes, development of industrial waste recycling systems, evolution of treatment processes and design criteria, and development of safe and profitable disposal methods.

(3) Insure compliance with DA and other Federal regulations on the disposal of chemical agents and munitions (§§ 650.130–650.134 and §§ 650.139–650.141).

(4) Procure materials for Army use which will minimize health and environmental hazards during production, use, storage, and disposal.

(c) Commanding General, US Army Health Services Command will—

(1) Conduct training activities to insure proficiency in the application, handling, storage, use, and disposal of insecticides and rodenticides to qualify pest control personnel for certification in accordance with the FIFRA 1972, as amended, and EPA guidelines.

(2) Provide personnel for conducting field investigations and special studies concerning hazardous and toxic materials and for recommending measures required to protect health and welfare and to comply with standards.

(d) Major Army commanders will—

(1) Establish a program for the control of hazardous and toxic materials management for the protection of the health and welfare of personnel and the natural environments.

(2) Program and budget for necessary resources required for hazardous and toxic materials management and pest management programs.

(3) Certify and re-certify as necessary, personnel employed in pest control activities after determination that personnel have received adequate training from an authorized and qualified source and have demonstrated proficiency in the application, handling, storage, use and disposal of pesticides in accordance with FIFRA, as amended. Such certification should identify the specific areas in which personnel are fully qualified.

(e) Installation and activity commanders will—

(1) Supervise the procurement, use, storage, and disposal of hazardous and toxic materials and chemicals and initiate appropriate procedures to protect the health and welfare of personnel who are exposed to their use.

(2) Comply with the procedures on the handling, use, and storage of hazardous and toxic materials which are under development and will be published by the Department of the Army. In the absence of DA regulations, Army activities will cooperate with Federal, State, or local agencies in meeting their standards.

(3) Use nonhazardous and nontoxic materials in installation and activity operations and procedures, when practicable.

(4) Insure that personnel involved in the pest management programs and in application of pesticides are certified in accordance with procedures in AR 420-76 and AR 420-74.

(5) Maintain liaison and cooperate with representatives of Federal, State, and local authorities engaged in regional pest control operations and pollution control and abatement.

(6) Dispose of hazardous and toxic materials in accordance with EPA-approved and DA-approved procedures (§§ 650.126-650.138). Chemical warfare agents will be disposed of in accordance with detailed plans approved by DOD (§§ 650.138-650.141).

(7) Insure that waste effluent discharges from radioactive isotope activities are in accordance with applicable rules, regulations, and requirements of the Nuclear Regulatory Commission (10 CFR Part 20.) and the policies and guidance of the Federal Radiation Council.

(8) Program and budget for resources necessary to conduct an effective hazardous and toxic materials management program at each Army installation.

PESTICIDE MANAGEMENT PROGRAM

§ 650.126 Implementing guidelines.

(a) DA will procure only those pesticides approved by and registered for use with the EPA and will use them consistent with their intended use and label instructions. Use of a pesticide other than those registered and approved for specific application in accordance with their labeling is illegal under FEPCA. Major command entomologist/agronomist, in coordination with DAEN-FEB, will be contacted in those instances where use of pesticides is anticipated for purposes other than that given on registered labeling.

(b) Some pesticides are on the EPA list of toxic pollutants for which water effluent standards are being developed. The list includes, but is not limited to substances such as aldrin, dieldrin, cadmium and all cadmium compounds, cyanide and all cyanide compounds, DDD (TDE), DDE, DDT, endrin, mercury and all mercury compounds, and toxaphene (chlorinated camphene). If the registration of any pesticides has been suspended or finally cancelled by EPA, DA organizations will not use such products except by special permission of DAEN-ZCE. If

justified, DAEN-ZCE may request an exemption from EPA.

(c) The concentration of pesticide residue contained in waste water discharges should not exceed the levels specified by the National Pollutant Discharge Elimination System (NPDES) permit issued to an installation.

(d) The storage, use, handling, and disposal of pesticides will conform to safety and health standards established by HQDA based on regulations published in the FEDERAL REGISTER and Code of Federal Regulations by EPA, HEW, DOT and other appropriate Federal agencies. Army publications that apply to the conduct of pest control activities are given in table 6-1. Disposal and repackaging guidelines are given in tables 6-3 and 6-4 of this Subpart.

§ 650.127 Procedures.

(a) The following requirements are applicable to pesticides in the two EPA rating system classes, highly toxic and moderately toxic (Toxicity categories I and II respectively) 39 FR 15237. Pesticides and used pesticide containers will be stored in a secure, dry, ventilated, single purpose, fire resistive room, building, or covered area. Pesticide formulations will be stored separately, inventoried semiannually and identified with warning signs in accordance with the EPA toxicity rating and Department of Transportation warning systems for pesticide labeling, and checked bimonthly for corrosion and leaks (39 FR 15235-15241). Large quantities of excess pesticides and used pesticide containers awaiting disposal will be stored in a secure and separate area and will be checked bimonthly for corrosion and leaks. Where applicable, the outside of each storage area will be labeled with appropriate "DANGER," "POISON," "PESTICIDE STORAGE" signs and local fire department hazard signal signs.

(1) Emergency detoxification and decontamination equipment, sink and showers, eye lavage, protective clothing, and rubber gloves will be provided pesticide handlers in accordance with AR's 420-74, 420-76, and 385-32.

(2) A viable accident prevention and environmental protection program will be maintained within the installation pest control service areas. Signs will be posted within the pesticide storage area indicating the type and common name of the pesticides being stored.

(3) A complete inventory of pesticides on hand will be maintained by the pesticide control services personnel indicating the number and identity of containers stored.

(b) Pesticide application and other insect and rodent control will be accomplished by or under the direct and continuing supervision of a trained and certified applicator (AR's 420-74 and 420-76). SOPs will be prepared by installation pesticide users on the application of pesticides. These SOPs will be reviewed by the appropriate DA engineer and/or medical entomologist, or agronomist (for herbicide application).

(c) DA directives will give a categorization for pesticide use. Categorization listings will identify those pesticides which may be used by a trained and certified applicator as well as by other than a trained and certified applicator.

(d) Only EPA registered pesticides will be used by the pesticide control services personnel, and usage will be in accordance with DA directives and label requirements. Nonregistered pesticides will only be obtained and used after approval by the command agronomist or entomologist, DAEN-FEB, and DAEN-ZCE.

(e) Pesticides in excess of installation requirements will be reported through channels to the Commander, U.S. Army General Parts and Materiel Center, New Cumberland Army Depot, New Cumberland, Pa. 17070, in accordance with paragraph 776, Defense Disposal Manual 4160.21M. Disposition instructions will be requested. However, every effort should be made to use the pesticide for the purposes originally intended, at the prescribed dosage rates, provided they are currently legal under all Federal, State, and local laws and regulations.

(f) Only approved methods will be used in the disposal of small quantities of certain excess or unusable pesticides (39 FR 15239). Accepted methods of rinse and disposal of pesticide containers have been developed in accordance with EPA recommended procedures. Guidance thereon will be issued by DAEN-ZCE. Technical assistance concerning containers not covered in directives may be obtained from: Commander, U.S. Army Environmental Hygiene Agency (USAEHA), Aberdeen Proving Ground, Md. 21010. Small quantities of used, suspended or cancelled pesticides may be disposed of in a Class 1 disposal site or its equivalent. These "small" quantities vary with different pesticides and will be determined by Commander, USAEHA.

(g) The judicious application of herbicides will be observed in natural resources management operations. Alternative methods of plant control such as mowing, controlled burning, etc. should be employed if economically feasible rather than the use of herbicides if at all possible.

(h) Prohibited procedures.

(1) No pesticide, pesticide-related waste, pesticide container, or residues from a pesticide container will be disposed of in such a manner as to cause or allow: open dumping; water dumping; well injection; direct exposure which may result in contamination of food or feed supplies, or a manner inconsistent with its label or labeling. Rare exceptions to these prohibited procedures may be granted by the regional administrator of EPA in accordance with the MPRSA and FWPCA amendments of 1972.

(2) Normally, no pesticide, pesticide-related waste, pesticide container, or residue from a pesticide container shall be disposed of in such a manner inconsistent with its label or labeling or in such a manner as to cause or allow open burning. Small quantities of combustible containers, not to exceed 50 pounds or

the quantity emptied in a single work day, whichever is less (except those formerly containing organic beryllium, selenium, mercury, lead, cadmium, or arsenic compounds) may be burned by the applicator in open fields where—

(i) Due regard is given to wind direction in relation to receptors such as population centers, field workers, domestic animals, and surface water supplies;

(ii) Such open burning is consistent with Federal, State, or local ordinances; and

(iii) Provisions are made to avoid contamination of surface and groundwater to levels in excess of standards promulgated by the Public Health Service, U.S. Department of Health, Education, and Welfare for potable water.

(i) Immediate emergency assistance on a pesticide spill that threatens life or gross contamination of the environment may be obtained by calling (800) 424-9300 (Chap. 6, AR 420-76).

(j) Application of pesticides, including aerial dispersal, may require the filing of an Environmental Impact Statement (EIS). The continuation of ongoing pest control operations which have been assessed and found to have no significant adverse environmental effect may not require the preparation of an EIS. However, a change of pesticide, rate of application, application technique or the initiation of a special or new operation, will require preparation of a new Environmental Impact Assessment (EIA) or the updating of a previous assessment. Where new pesticide programs are proposed, the command entomologist or agronomist will be consulted. Copies of each EIA prepared will be retained on file at the installation. (See Subpart B of this Part for EIA/EIS procedures).

§ 650.123 Monitoring.

(a) The DA pesticide monitoring program is the responsibility of the US Army Health Services Command (AR 40-5). It complements the National Pesticide Monitoring Program to insure that the use of pesticides does not constitute a threat to human health or hazard to the environment. The program determines pesticide residue levels in substances such as surface water, soil, sediments, fish, and birds.

(b) Army installation commanders having pest control management activities will support the DA pesticide monitoring program. Technical assistance in this area may be obtained from Commander, US Army Environmental Hygiene Agency, Aberdeen Proving Ground, Md. 21010.

(c) All Army facilities will require an annual review and inspection of pest control shops to insure that a sound pest management program is established and followed, and that prescribed procedures in the handling, use, and disposal of pesticides and pesticide containers are being followed.

§ 650.129 Reports (RCS DD-I&L (AR) 1080) and (RCS DD-I&L (SA) 1088).

(a) *Pest Control Summary Report*, (RCS, DD-I&L (AR) 1080). Continuing

reports will be made on the storage and use of pesticides as required by AR 420-76.

(b) *The Environmental Protection Control Report—Pesticide Pollution Category 6*, (RCS DD-I&L (SA) 1088). The Pesticide Pollution Control Report is designed to provide information on a phased and co-ordinated plan for prevention or control of pesticide pollution for submission to Office of the Secretary

of Defense and Office of Management and Budget. Examples to be included in such a report are disposal facilities, storage facilities or shop remodeling relating to prevention, control or abatement of pollution from pesticides. The report is the Army's fiscal plan for abatement of pesticide pollution resulting from Army activities. See Subpart J of this part for reporting procedures and guidance.

TABLE 6-1.—Pest control publications

Publication	Title	Pest control application
Ch. 5, AR 40-5	Health and Environment	Health aspects of medical entomology and pesticides.
AR 40-574	Aerial Dispersal of Pesticides and Utilities; Operation and Maintenance	Policies and procedures for aerial dispersal of pesticides.
AR 385-32	Protective Clothing and Equipment	Responsibilities, policy and procedures for providing protective clothing & equipment. Special training for herbicide handlers.
AR 420-74	Natural Resources—Land, Forest, and Wildlife Management	Prevention of environmental pollution by pesticides; policy on use of persistent pesticides; guidance on pesticide disposal; procedure and format for submission of the pest control summary report.
AR 420-76	Pest Control Services	Limitations on use of 2,4,5-T herbicide. Herbicides for noncropland weeds. Safety precautions in using herbicides.
AR 420-77	Restrictions on Use of Herbicide 2,4,5-T	Guidance and techniques on dispersal and use of pesticide.
TM 5-629	Herbicide Manual for Noncropland Weeds	
TM 5-630	Repairs and Utilities, Ground Maintenance and Land Management	
TM 5-632	Military Entomology Operational Handbook	

HAZARDOUS CHEMICAL STOCKS (EXCLUDING CHEMICAL WARFARE AGENTS)

§ 650.130 Implementing guidelines.

(a) Existing or promulgated hazardous chemical management standards in this regulation apply to all Army facilities. Storage, use, handling and disposal of hazardous chemical stocks will conform to published DA policies, standards, and procedures (tables 6-1 and 6-2).

(b) With the exception of oils and other liquid petroleum products (Subpart I of this part), it is difficult to identify materials which should be classified as hazardous or toxic. Hazards to be considered include flammability, radioactivity, re-activity, toxicity, bioconcentration, irritation, allergenic, or genetic activity. Certain chemicals, such as asbestos, cadmium, lead, mercury, beryllium, cyanide, toxaphene, polyvinyl chloride, polychlorinated biphenyls (PCB's), fluorine compounds, selenium, arsenic, and certain pesticides are recognized as hazardous and special storage and handling are necessary even for small quantities. Other materials, however, are more difficult to categorize since excessive amounts of almost anything can be harmful when released. EPA is currently defining criteria and establishing effluent standards for hazardous substances and toxic pollutants (including some pesticides) under the Federal Water Pollution Control Act amendments of 1972 (39 FR 30466). Effluent standards will be published by EPA for these hazardous substances which can reasonably be anticipated to be discharged into navigable waters and which will pose an imminent and substantial danger to public health and welfare. Upon issuance in the FEDERAL REGISTER, DA installation commanders will follow required restrictions and guidelines on their discharge or disposal.

(c) Subpart C of this part lists requirements under the National Pollutant Discharge Elimination System and other applicable Federal, State and local standards.

(d) Ocean dumping, as a rule, will not be considered an acceptable means of disposing of hazardous and toxic substances, pesticides, radioactive wastes, or chemical warfare agents. Only under special circumstances, and after coordination with EPA, will ocean dumping and transportation for such dumping be allowed.

§ 650.131 Procedures.

The hazardous chemical management procedures in this regulation are presented as preferred methods by which the requirements of the environmental standards and the objectives of DA policies can be achieved. If techniques other than the following are used, commanders will demonstrate in advance that the techniques to be employed will satisfy the environmental quality standard in this regulation or those established by the appropriate Federal, State, or local authority.

(a) All measures to prevent accidental pollution of the environment by uncontrolled release of hazardous chemicals to the air, water, or land environment will be taken by all Army activities.

(1) Installations storing, handling, or transferring hazardous chemicals will include within their Spill Prevention Control and Countermeasure (SPCC) Plan, procedures to prevent, control and report accidental releases of these substances to the environment. (See Subpart I of this part, on requirements for SPCC plans).

(2) Effluent standards for toxic pollutants are found in 40 CFR Part 129, and the designation of hazardous substances will be found in 40 CFR Part 116.

(b) Storage facilities for chemicals (excluding pesticides) hazardous to health and welfare and detrimental to the environment, will be located according to the nature of the chemicals, storage site, protective enclosures, and operating procedures. Adequate measures will be taken for inventorying chemicals semi-annually, for controlling hazards, and for monitoring the environment.

(c) Appropriate safety materials and protective clothing and equipment will be kept on hand for emergency treatment, decontamination, cleanup, and for area warning signs and labels.

(d) No hazardous chemical, or its container, which will cause adverse effects on the environment, will be used or disposed of in a manner inconsistent with instructions on its label or inconsistent with use or disposal procedures established by Federal, State, or local laws or regulations.

(e) Ultimate disposal of unserviceable and excess hazardous chemical stocks.

(1) Hazardous chemical stocks that are unserviceable and/or have been declared excess to DA requirements will be reported to the local Defense Property Disposal Office (DPDO) for merchandising. The stocks will remain the property of the generating agency until ultimate disposal.

(2) Disposal of hazardous chemical stocks on which DPDO disposition cannot be obtained may be made by contract with commercial firms, provided it is in accordance with appropriate Federal, State, or local laws and regulations and the commercial firm is licensed or otherwise approved to dispose of the chemical stocks by the appropriate authorities.

(3) Disposal guidance can be obtained from the Commander, US Army Edgewood Arsenal who, in conjunction with Commander, US Army Environmental Hygiene Agency, Aberdeen Proving Ground, MD 21010, will provide data. Requests for disposal guidance should include Federal Stock Number (FSN), full nomenclature, appropriate military specification or standard indicated on label, quantity of issue, total quantity of issue, total quantity requiring disposal (pounds, gallons, liters, etc.), and condition of containers.

(4) Commanders of installations and activities who are responsible for disposing of hazardous chemicals will maintain records indicating quantities of hazardous chemicals disposed of, disposal method used, and disposal site location (e.g. removal of polychlorinated biphenyls (PCB) from transformers).

(f) The transport of dangerous or hazardous chemicals is subject to the provision of Pub. L. 91-121 (50 U.S.C. 1511-1516) and AR 55-56. Chapter 216, AR 55-355 requires DA compliance with CFR Title 14 (air transportation), Title 49 (highway and rail transportation), and Title 46 (water transportation). Further, AR 55-228 governs water transport of hazardous materials and TM 38-250 prescribes the provisions for the transportation of dangerous materials by military aircraft.

(g) Immediate short-term (30 minutes or less) emergency assistance on a

chemical spill transportation problem may be obtained by calling Chem Trec (800) 424-9300 or in the Washington, D.C. area, (202) 483-7616. This service is available only for short-term transportation problems and provides information on spills, leaks, fire and explosion.

§ 650.132 Special authorizations.

(a) A notification must be made to EPA for the operation, construction or modification of a source of hazardous air pollutants (asbestos, beryllium, or mercury): FEDERAL REGISTER April 6, 1973 (38 FR 8820) and May 3, 1974 (39 FR 15396) and October 25, 1974 (39 FR 38064) (Exempt Report paragraph 7-20 AR 335-15). Sprayed asbestos materials will not be used in construction for any purpose and controls are placed on asbestos handling during demolition operations. When Federal, State, or local regulations establish other permit systems, DA directives will provide guidance and compliance schedules, as appropriate.

(b) Transportation of hazardous items is covered in AR 55-56, Title 49 CFR Parts 170-189 and Department of Transportation hazardous materials regulations.

(c) Installation commanders will comply with permits required under the provisions of the National Pollutant Discharge Elimination System (NPDES).

§ 650.133 Monitoring.

Environmental monitoring will be in accordance with requirements established in Subparts C and D of this part and the NPDES.

§ 650.134 Reports.

Installation commanders will report, as required, on the inventory, use, and disposal of hazardous chemical stocks, on recurring reports under the NPDES, and as required on accident/incident reports required by AR 385-40 and AR 50-21.

PHARMACEUTICAL STOCKS, BIOLOGICAL WASTES AND DRUGS

§ 650.135 Procedures.

The pharmaceutical disposal procedures in this regulation are preferred methods and apply to both existing and new Army facilities.

(a) No pharmaceutical stock or its container will be disposed of in a manner inconsistent with instructions on its label; or instructions provided in DA #SB 8-75 series supply bulletins; or inconsistent with disposal procedures established by appropriate Federal, State, or local laws and regulations.

(b) Pharmaceutical stocks in excess to medical facility requirements will be reported through medical supply channels in accordance with AR 40-61 and disposition instructions will be requested.

(c) Destruction of banned, outdated, and unserviceable pharmaceutical stocks will be in accordance with instructions provided in DA #SB 8-75 series bulletins. Assistance in determining applicability of disposal procedures may be obtained by request to Commander, US Army Environmental Hygiene Agency, Aberdeen Proving Ground, MD 21010.

(d) Army installation commanders disposing of pharmaceutical stocks by land burial will maintain records on quantities disposed, disposal method used, and disposal site location.

(e) Biological, surgical and hospital-type hazardous or toxic waste materials will be used, handled, stored and disposed of in accordance with AR 40-5 and AR 40-61. Technical assistance on special problems in handling unusual, hazardous or toxic chemical and biological materials can be obtained by requests addressed to:

(1) CONUS—Commander, US Army Health Services Command, ATTN: HSC-PA-H, Fort Sam Houston, Tx 78234.

(2) OVERSEAS (including Hawaii)—HQDA (DASG-HCH), WASH DC 20310.

§ 650.136 Special authorizations.

Policies and procedures for obtaining written approval applicable to investigative drugs in humans are outlined in AR 40-7.

§ 650.137 Monitoring.

Environmental monitoring will be in accordance with requirements established in Subparts C and D of this part under the NPDES.

§ 650.138 Reports.

Installation commanders will provide reports on disposition of pharmaceutical drugs as required.

RADIOACTIVE MATERIALS, EXPLOSIVES, AND CHEMICAL WARFARE AGENTS

§ 650.139 Radioactive materials and nuclear accidents and incidents.

(a) Policies and procedures applicable to nuclear accidents and incidents are given in ARs 40-13, 50-5, 360-5, 360-43, 385-40, and 755-15. The handling, use, and disposal of radioactive materials will be in accordance with applicable Army regulations and will be in such a manner so as not to contribute to pollution of the environment; within imminent safety and health considerations. Procedures may be found in Army guidance dealing with medical services, nuclear weapons and material, transportation and travel, explosives, safety, logistics, and disposal of supplies and equipment directives.

(b) Temporary storage of radioactive materials, prior to shipment for disposal, will be in accordance with TM 3-261, AR 385-30, AR 700-52, and Title 10, Code of Federal Regulations, part 20.

(c) The shipment and disposal of radioactive materials will be in accordance with AR 55-55, AR 755-15, and DOT and Nuclear Regulatory Commission regulations.

(d) Local disposal of radioactive materials by release to the sanitary sewerage systems and other radioactive effluents to the environment will be in accordance with AR 755-15 and Title 10, Code of Federal Regulations, part 20.

(e) Special problems on radioactive waste disposal will be referred through command channels to Commander, US Army Materiel Command (ATTN: AM CSF-P), 5001 Eisenhower Avenue, Alexandria, Va 22333.

(f) All nuclear reactor facilities will be monitored for discharges of gaseous, liquid or particulate effluents to prevent contamination of the environment in accordance with chapter 4, AR 385-80.

(g) Installation commanders will provide reports on handling, use, inventory or disposal of radioactive materials and monitoring as requested by DA, EPA, Nuclear Regulatory Commission or other Federal agencies, and on nuclear accidents/incidents as required by AR 385-40.

(h) The Environmental Protection Control Report—Radiation Pollution, Category 4, (RCS (DD-I&L(SA) 1088)). The Radiation section of the semiannual Environmental Pollution Control report is designed to provide information to HQDA on phased or coordinated plans for prevention or control of radiation pollution for submission to Office of the Secretary of Defense and Office of Management and Budget. See Subpart J of this part for reporting procedures and guidance.

§ 650.140 Explosive ordnance.

(a) Policies and procedures applicable to explosive ordnance materials are contained in AR's 75-1, AR 75-14, AR 75-15, AR 385-60, AR 385-64, and 755 series regulations dealing with disposal of supplies & equipment. The disposal of deteriorated ammunitions and explosives will be in accordance with Army regulations in the 75, 385 and 755 series. Every effort will be made to dispose of these wastes so as not to contribute to the pollution of the environment within personnel safety considerations for Explosive Ordnance Disposal and Technical Escort Emergency Operations.

(b) Deteriorated or unused explosives, munitions and rocket propellants may only be open-burned in non-urban areas and under conditions acceptable to Regional EPA and appropriate State Air Pollution Control authorities. Where there is an official prohibition against burning of such wastes, notification of restrictions and/or requests for assistance will be submitted through command channels to DAEN-ZCE.

(c) Installation commanders will provide reports to DA, as requested, on the handling, use, inventory or disposal of explosive materials and on explosive accidents/incidents as required in AR 385-40.

§ 650.141 Chemical warfare agents.

(a) The handling, use, and disposal of chemical warfare agents, ammunition, and explosive materials will be in accordance with Army regulations and will be in such a manner so as not to contribute to the pollution of the environment. Procedures may be found in Army directives dealing with transportation and travel, explosives, safety, and disposal of supplies and equipment. The safety program for chemical agents and associated weapon systems is prescribed in AR 385-61. Further, disposal of chemical warfare agents will be planned in accordance with the National Environmental Policy Act of 1969, Pub. L. 91-190 (42 U.S.C. 4321 et seq.), Military

Appropriation Acts Pub. L. 91-121, section 409 and Pub. L. 91-441, section 506.

(b) Installation Commanders will provide reports through command channels to DA as requested on handling, use, inventory, or disposal of chemical warfare agents and as required on chemical accidents/incidents as outlined in AR 385-40. Disposal guidance can be obtained from the Commander, US Army Edgewood Arsenal who, in conjunction with the Commander, US Army Environmental Hygiene Agency, Aberdeen Proving Ground Md. 21010, will provide data.

TABLE 6-2. RELATED PUBLICATIONS

Federal Insecticide, Fungicide and Rodenticide Act (FIFRA) as amended by the Federal Environmental Pesticide Control Act of 1972, Pub. L. 92-516, (Title 7 U.S.C. 135-135K, 136-136Y (1972)).

Federal Water Pollution Control Act Amendments of 1972 (Title 33 U.S.C. 1151 et seq.).

Marine Protection, Research and Sanctuaries Act of 1972 (86 Stat. 1052).

Solid Waste Disposal Act as amended (Title 42 U.S.C. 3251 et seq.).

AR 40-5	Health and Environment.
AR 40-7	Use of Investigational Drugs in Humans and the Use of Schedule I Controlled Drug Substances.
AR 40-13	Radiological Emergency Medical Teams (REMT).
AR 40-61	Medical Materiel Policies and Procedures.
AR 40-574	Aerial Dispersal of Pesticides.
AR 50-5	Nuclear Surety.
AR 55-55	Transportation of Radioactive and Fissile Material Other Than Weapons.
AR 55-56	Transportation of Dangerous or Hazardous Chemical Materials.
AR 55-228	Transportation by Water of Explosives and Hazardous Cargo.
AR 55-355	Military Traffic Management Regulation.
AR 75-1	Malfunctions Involving Ammunition and Explosives.
AR 75-14	Interservice Responsibilities for Explosive Ordnance Disposal.
AR 75-15	Responsibilities and Procedures for Explosive Ordnance Disposal.
AR 360-5	General Policies.
AR 360-43	Information Guidance—Nuclear Accidents and Nuclear Incidents.
AR 385-10	Army Safety Program.
AR 385-16	System Safety.
AR 385-30	Safety Color Code Markings and Signs.
AR 385-32	Protective Clothing and Equipment.
AR 385-40	Accident Reporting and Records.
AR 385-60	Coordination with Armed Services Explosives Safety Board.
AR 385-61	Safety Program for Chemical Agents and Associated Weapon Systems.
AR 385-64	Ammunition and Explosives Safety Standards.
AR 385-80	Nuclear Reactor Health and Safety Program.
AR 420-74	Natural Resources—Land, Forest, and Wildlife Management.
AR 420-76	Pest Control Services.
AR 420-77	Restrictions on Use of Herbicide 2,4,5-T.
AR 700-52	Licensing and Control of Sources of Ionizing Radiation.
AR 750-20	Prevention, Control, and Abatement of Pollution from Mobile Equipment.

AR 755-15	Disposal of Unwanted Radioactive Material.
TM 3-261	Handling and Disposal of Unwanted Radioactive Material.
TM 5-629	Herbicide Manual for Noncrop Land Weeds.
TM 5-630	Ground Maintenance and Land Management.
TM 5-632	Military Entomology Operational Handbook.
TM 33-250	Packaging and Materials Handling: Packaging and Handling of Dangerous Materials for Transportation by Military Aircraft.

TABLE 6-3—PESTICIDE CONTAINER DISPOSAL GUIDELINES

RECOMMENDED INTERIM GUIDELINES FOR DISPOSAL OF EMULSIFIABLE CONCENTRATE METAL CONTAINERS

Step 1. Empty containers in the normal manner and allow to drain for one minute into the spray or mix tank.

Step 2. First Rinse.

a. Add the correct amount of water rinse solution:

Container size	Minimum water rinse solution
Less than one gal.	One-fourth container volume.
One gal.	One quart.
Five gal.	Two quarts.
Fifteen gal.	1.5 gallons.
Thirty gal.	Three gallons.
Fifty-five gal.	Five gallons.

b. Replace closure.

c. Rotate and up end container to get rinse over all interior surfaces.

d. Drain rinse into the spray or mix tank.

Step 3. Second Rinse.

a. Repeat step 2 a thru c.

b. Puncture head of the metal container near the edge adjacent to the pour spout and drain the rinse into the spray or mix tank.

NOTE: If 15-55 gallon containers are to be recycled through a registered drum reconditioner, DO NOT PUNCTURE the containers.

Step 4. Third Rinse.

a. Repeat step 2, but gently rotate the drum to rinse interior of the container being careful not to spill rinse through the puncture area.

b. Metal containers up to and including five gallon size:

(1) Allow rinsed container to drain for one minute into the spray or mix tank.

(2) Crush the rinsed container and bury in sanitary landfill in conformance with State and local standards, or recycle through a properly equipped metal reclaiming firm, if applicable.

c. Metal containers, 15-55 gallon capacity:

(1) Allow the rinsed container to drain for one minute into the spray or mix tank.

(2) Replace all closures, accumulate rinsed drums in a secure area, and:

(a) Recycle through a registered drum reconditioner; ¹ or

(b) Return to a pesticide manufacturer or formulator for refilling with the same chemical class of pesticide providing such return and reuse is legal under currently applicable U.S. Department of Transportation regulations; ¹ or

(c) Recycle as scrap metal through a metal reclaiming firm.

¹ Information on registered drum reconditioners "Reuse of Specification 17 Series Steel Drums" and the reuse of empty pesticide containers may be obtained from:

Department of Transportation, Office of Hazardous Materials, Operations Division, 400 Sixth Street, SW., Washington, D.C. 20590.

(3) If drums are not recycled, they should be rinsed and punctured as outlined in Step 3, crushed and buried in a sanitary landfill in conformance with State and local standards.

NOTE: Never re-use emptied pesticide containers.

RECOMMENDED INTERIM GUIDELINES FOR DISPOSAL OF TECHNICAL GRADE METAL CONTAINERS

- Step 1. Empty container should be allowed to drain for one minute into the spray tank.
- Step 2. Replace closure.
- Step 3. Accumulate unrinsed empty drums in a secure area, and:
 - a. Store pending receipt of DOD disposal instructions; or
 - b. Return empty drums to a registered drum reconditioner¹ or a pesticide manufacturer or formulator for refilling with the same chemical class of pesticide as previously contained provided such return and refilling is legal under current applicable US Department of Transportation regulations²; or
 - c. Recycle as scrap metal through a metal reclaiming firm having EPA and/or State approved burning equipment suitable for incineration of pesticides.

Department of Transportation, Office of Hazardous Materials, Operations Division, 400 Sixth Street, SW., Washington, DC 20590.

RECOMMENDED INTERIM GUIDELINES FOR DISPOSAL OF SPECIFIED CONTAINERS (BAIT, DUST, AEROSOL AND GRANULE)

- Step 1. Empty container in the normal manner.
 - a. Residue should be completely removed from bait, dust and granule containers.
 - b. Aerosol containers should be completely expended.³
- Step 2. Crush container with the exception of aerosol containers.
- Step 3. Dispose container in the sanitary landfill in conformance with State and local standards, or accumulate and recycle the crushed metal containers through a properly equipped metal reclaiming firm, if applicable.

NOTE: Never re-use emptied pesticide containers.

RECOMMENDED INTERIM GUIDELINES FOR DISPOSAL OF WATER WETTABLE POWDER CONTAINERS (METAL AND PAPER)

- Step 1. Empty container in the normal manner.
- Step 2. Rinse container three times, each time using a volume of water equal to approximately 10 percent of the container capacity and adding the rinse water to the spray tank. This rinse water should be calculated as part of the required diluent.
- Step 3. Rinsed metal containers can be crushed and sold as scrap metal, if applicable. Unsalvaged containers should be ren-

¹Information on registered drum reconditioners "Re-use of Specification 17 Series Steel Drums" and the re-use of empty pesticide containers may be obtained from:

²In expending aerosol containers, some propellant usually remains. This propellant can be ignited if a large quantity of aerosol cans are crushed while being disposed in sanitary landfill operations. The vapors of propellant (in sufficient volume) can be sucked over the hot bulldozer engine by its fan and such vapors can ignite, consuming the equipment and operators in flames. Therefore, never store spent aerosol cans for disposal at one time; rather dispose them either singly or in quantities of no more than six cans.

dered unuseable and buried in an approved sanitary landfill in conformance with State and local standards.

NOTE: Never re-use emptied pesticide containers.

RECOMMENDED INTERIM GUIDELINES FOR DISPOSAL OF ONE GALLON OIL SOLUTION READY-MIX METAL CONTAINERS (6840-844-7355 DIAZINON 0.5 PERCENT; 6840-180-6069 BAYCON HOUSEHOLD SPRAY 1 PERCENT)

- Step 1. Empty container in the normal manner.
- Step 2. Puncture top of metal container near the edge adjacent to the pour spout and allow to drain for 5 minutes into the spray tank.
- Step 3. The empty container should be crushed and buried in an approved sanitary landfill in conformance with State and local standards.

NOTE: Never re-use emptied pesticide containers.

TABLE 6-4—RECOMMENDED PROCEDURES FOR REPACKAGING LIQUID PESTICIDES AND DISPOSITION OF EMPTY CONTAINERS

1. Observe prescribed safety procedures during all operations to prevent spillage of, or exposure of personnel to the pesticides, and:
 - a. Stay up wind while pouring pesticides.
 - b. Do not drink, eat, smoke, or use tobacco in pesticide handling areas.
 - c. Wear neoprene or neoprene coated gloves and a neoprene or Buna-N rubber apron while repackaging.
 - d. Wear face shields or chemical goggles during repackaging.
 - e. Do not put fingers in mouth or rub eyes while repackaging.
 - f. Wash hands before eating, smoking, or using the toilet and immediately after repackaging.
 - g. Wear protective clothing; remove contaminated clothing immediately and launder before wearing again.
 - h. Work clothes and street clothes should not be stored in the same locker.
2. Approved containers for repackaging liquid pesticides are:
 - a. Five gallon—FSN 8110-282-2520, Drum Metal; New; 22 USS sheet metal gage steel; enamel exterior; nonremovable ends, 13% in. outside H, 11 1/4 in. OD; five gal normal filled capacity; ball attached to top; spout; FED PPP-P-704, Type 1, Class 8, push-pull spout.
 - b. Fifty-five gallon—FSN 8110-597-2353, Drum, Shipping and Storage; 16 USS sheet metal gage steel; enamel exterior; nonremovable cover, 35% in. outside H, 23 1/2 in. OD; 55 gal capacity; two expanded outward rolling hoops; bung and vent located in end; reusable; FED PPP-D-729, Type 1.

3. When repackaging liquid pesticides, the interior surface of each metal drum FSN 8110-282-2520 and FSN 8110-597-2353, shall be completely lined with two coats, .0015 inch total thickness, of bisphenol epoxide and phenol-formaldehyde resins mixture conforming to MIL-V-12276D, Type III, class optional.

4. Empty the leaking container into one of the above approved containers and mark as shown in paragraph 8 or 9.

NOTE: Do Not Combine Pesticides During Repackaging.

5. After emptying the contents of a container, puncture the top of the container near the edge adjacent to the pour spout and allow one gallon containers one additional minute and larger containers 3 to 5 additional minutes to drain.

6. With storage some pesticides develop sludges or crystals that solidify and adhere to the bottom of the container. Should this occur, dissolve with a solvent and add the dissolved sludge to the new container being used to repackaging the contents of the leaking container. Pesticides containing sludges are considered unserviceable.

7. Container Rinse Procedures.

- a. Rinse the empty container three times, each time using a volume of the normal diluent equal to approximately 10 percent of the container's capacity. The diluent for 5 percent DDT, FSN 6840-253-3892, is kerosene; diluents for other pesticides are indicated on the pesticide container labels.

Container size	Minimum diluent required for each rinse
One gallon	qt. 1.0
Five gallon	qts. 2.0
Fifteen gallon	gal. 1.5
Thirty gallon	do. 3.0
Fifty-five gallon	do. 5.0

- b. Add the correct amount of rinse solution and GENTLY ROTATE the container for one minute to get the rinse over interior surfaces avoiding spillage of the rinse through the leaking areas.

c. Drain the rinse into an approved container. Note:

- (1) For a pesticide declared SERVICEABLE, drain the rinse into a separate container. DO NOT RINSE INTO THE CONTAINER BEING USED TO REPACKAGE THE CONTENTS OF THE LEAKING CONTAINER. (Serviceability must be verified by a quality assurance test.)
- (2) For a pesticide declared UNSERVICEABLE, drain the rinse into the container being used to repackaging the contents of the leaking container.

d. Repeat paragraphs 7b and c (second rinse).

e. Repeat paragraphs 7b and c (third rinse), and:

- (1) Allow to drain for 5 minutes into one of the above approved containers.
- (2) Crush and bury empty containers in a sanitary landfill in conformance with Federal, State and local standards or recycle rinsed containers to a commercial metal reclaiming firm having EPA and/or State approval burning equipment suitable for incineration of pesticides.

8. Labeling containers of UNSERVICEABLE pesticides (diluted or undiluted) and rinse solutions.

- a. Marking shown on one side of drum shall not occupy more than the upper one-third of the side:
 - (1) WASTE MATERIAL NOT APPROVED FOR USE.
 - (2) FSN—Repackaged.
 - (3) Nomenclature and percentage.
 - (4) Type and quantity of rinse solution added to repackaged container.
 - (5) Total quantity in gallons.
 - (6) Level of protection and date packaged (B-month/year).
 - (7) Gross weight and cube.

- b. Marking shown on drum head or ends not removed in order to use contents (applies to 55 gallon drums only):
 - (1) WASTE MATERIAL NOT APPROVED FOR USE.

- (2) FSN—Repackaged.
 (3) Total quantity.
 9. Labeling containers of SERVICEABLE pesticides.

a. Marking shown on one side of drum shall not occupy more than the upper one-third of the side:

- (1) FSN—Repackaged.
 (2) Nomenclature and percentage.
 (3) Total quantity in gallons.
 (4) Level of protection and date packaged (B-month/year).

(5) Gross weight and cube.
 b. Marking shown on drum head or ends not removed in order to use contents (applies to 55 gallon drums only):

- (1) FSN.
 (2) Nomenclature and percentage.
 (3) Total quantity.
 (4) Lot or batch numbers.
 (5) Date of pack (earliest repackaging date).
 (6) Contract number(s).
 (7) Name and address of the contractor(s).

c. Marking shown on the diametrically opposite side of the container from that containing the identification marking and shall be located in the upper one-third of the side:

- (1) Contract, purchase, or delivery order number(s).
 (2) Name(s) and address(es) of prime contractor(s).

d. In order for repackaged pesticides to be considered serviceable, returned to the supply system, transferred or sold for use as originally intended, an additional label which conforms with the original EPA or USDA registered label to include the registration number must be attached. If the item does not have an EPA or USDA registered label, the additional label must then conform to the labeling instructions contained in the original military or Federal specification for each line item.

10. Storage.

a. Store UNSERVICEABLE repackaged pesticides with other UNSERVICEABLE pesticides and hold pending DOD disposal instructions.

b. Store SERVICEABLE repackaged pesticides with other SERVICEABLE pesticides and use for intended purpose.

11. Reference.

39 FR 15235-15241, May 1, 1974, Environmental Protection Agency, Pesticides and Pesticide Containers, Regulations for acceptance and Recommended Procedures for Disposal and Storage.

Subpart G—Environmental Noise Abatement

GENERAL

§ 650.161 Purpose.

The provisions contained in this chapter implement the provisions of the Noise Control Act of 1972 (Pub. L. 92-574) and Federal Regulations promulgated pursuant to this Act, including Executive Order 11752, Office of Management and Budget Circular No. A-106, and EPA procedures for Reporting Proposed Pollution Abatement Projects For Federal Facilities.

§ 650.162 Goal and objectives.

The Department of the Army (DA) goal is to control noise produced by Army activities to protect the health and welfare of its members and the public within, adjacent to, and surrounding Army installations. The following objectives are necessary to achieve this goal:

(a) Assess the environmental impact of noise produced by Army activities and mitigate harmful or objectionable effects to the maximum extent practicable.

(b) Comply with applicable Federal, State, interstate and local standards pertaining to noise, consistent with military requirements.

(c) Achieve noise abatement through the application of engineering noise reduction procedures, administrative noise control measures, modern land use planning and procurement of less noisy equipment.

(d) Incorporate noise control provisions, consistent with national security requirements, into the development and procurement of weapons systems and other military equipment for use in combat operations; and in the design and siting of facilities.

§ 650.163 Explanation of terms.

(a) *Administrative noise control measures.* Policy decisions and administrative actions taken to regulate the conduct of training, operations and activities for the purpose of relocating, rescheduling, or restricting activity to abate or control noise; e.g., decisions on the time of day, site, and number of operations, firing schedules, flight patterns, etc.

(b) *Ambient noise.* The all encompassing noise associated with a given environment, usually composite of sounds from many sources.

(c) *Decibel (dB).* Unit of measure indicating the sound pressure level of a measured sound. dBA indicates that the sound level is measured through the A-weighting network of a sound level meter.

(d) *Engineering noise reduction.* Control of noise at the source, path or receptor site through use of acoustical engineering techniques. Among other techniques, this involves enclosures, absorbent materials, and barriers.

(e) *Environmental noise.* The intensity, duration, and character of sounds from all sources.

(f) *Impulsive noise (also referred to as impulse or impact noise).* Noise with abrupt onset, high intensity, short duration—typically less than one second. This type of noise can be produced by weapons fire, explosions, punch presses, and drop hammers, and consists of a short burst of acoustical energy of either a single impulse or a series of impulses.

(g) *Land use planning.* That aspect of master planning wherein the best possible use is made of available land areas by considering, among other factors, mission and environmental protection requirements.

(h) *Noise control management.* The abatement of noise through use of low-noise-emission products, engineering noise reduction, or administrative noise control measures.

(i) *Noise pollution control standards.* Noise emission standards for products adopted in accordance with provisions of the Noise Control Act of 1972 or provisions of State, interstate, and local

standards for control and abatement of environmental noise.

§ 650.164 Policies.

The Department of the Army will—
 (a) Comply with all DOD and applicable Federal, State and local noise control standards promulgated pursuant to the Noise Control Act in the planning, siting, design, construction and operation of Army controlled facilities and installations. The aim is to promote an environment for all people free from noise that jeopardizes their health and welfare.

(b) Procure commercial equipment and products, or those adapted for military use, that are in compliance with established Federal noise standards and give priority to use of low-noise-emission products within reasonable cost and mission limitations.

(c) Incorporate noise control provisions in the design and procurement of vehicles, aircraft, weapons systems and other military-unique equipment for use in combat operations to the extent that essential operational capabilities are not significantly impaired.

(d) Include the impact of environmental noise in any assessment of an Army action or program.

(e) Institute measures to reduce and/or control the generation of noise from flying and flying-related activities and comply with DOD Instruction 4165.57 on Air Installations Compatible Use Zones (AICUZ).

(f) Periodically monitor Army installations and their environs to insure that applicable Federal, State, interstate and local noise standards are met.

§ 650.165 Responsibilities.

(a) Department of the Army Staff.

(1) The Chief of Engineers will—
 (i) Promulgate basic policies, guidance and regulations for the control of environmental noise produced by military equipment (aircraft, vehicles, etc.), and that resulting from the conduct of various types of military training activities (DAEN-ZCE).

(ii) Monitor the structural engineering aspects of the environmental noise pollution control program to assure that facilities on Army real property satisfies established noise control standards (DAEN-MC).

(iii) Provide guidelines and assistance for the selection of architectural and engineering measures to be employed, to control noise levels in conjunction with installation master planning or the siting of new facilities. (e.g., siting considerations, noise barriers or berms, operational controls, and sound attenuation in new and existing structures) (DAEN-MC).

(iv) Coordinate noise abatement criteria, standards, policies, and corrective measures with The Surgeon General, and The Inspector General and Auditor General, (Army Director of Safety).

(v) Incorporate noise attenuation measures in the design and construction of new structures and provide technical assistance on noise attenuation tech-

niques for existing structures (DAEN-MC).

(2) The Deputy Chief of Staff for Operations and Plans will—(i) Monitor operations and activities to assure control of noise produced by military equipment, aircraft, and vehicles, resulting from the conduct of various types of military training activities.

(ii) Insure compliance with appropriate noise standards during test and evaluation of Army material and during operational testing.

(3) The Deputy Chief of Staff for Research, Development and Acquisition will—(i) Monitor compliance with applicable noise control standards during the development and testing of new material.

(ii) Process and staff requests for exemptions (§ 650.175) for military unique equipment where essential operational characteristics are significantly impaired by adherence to applicable noise standards, and where the equipment is deemed essential to mission accomplishment.

(4) The Surgeon General will—(i) Monitor health and welfare aspects of environmental noise within the Department of the Army to assure that the required degree of noise control is maintained.

(ii) Issue health and medical policy guidance obtained from liaison with other Federal agencies assigned responsibility for environmental noise control.

(iii) Coordinate in the development of noise abatement criteria, standards and corrective measures with the Chief of Engineers and when appropriate with Director of Safety, HQDA.

(b) Commander, US Army Health Services Command will—

(1) Accumulate, evaluate, and disseminate data on environmental noise conditions that may adversely affect the health of men and animals.

(2) Conduct environmental noise studies when requested, provide acoustical technical assistance for preparation of Environmental Impact Assessments (EIA) or Environmental Impact Statements (EIS) and make recommendations on programs or projects to achieve noise pollution control.

(3) Provide technical consultation to commanders on health aspects of environmental noise control and assist in the development of environmental noise abatement programs for facilities and activities.

(c) Commander, US Army Materiel Command and other materiel development and procurement agencies will—

(1) Procure equipment or materiel which complies with DA adopted noise emission standards and retrofit existing vehicles as appropriate, to reduce noise to acceptable levels.

(2) Initiate and forward requests for waiver of noise standards for military equipment to DAEN-ZCE when it has been determined that compliance with such standards would significantly degrade the required military capability of the equipment.

(3) Pursue a research and development, test and evaluation program for the abatement or control of noise from military equipment.

(d) Major Army commanders will—

(1) Comply with applicable Federal, State, interstate and local standards regarding environmental noise control and abatement.

(2) Establish a program for an initial survey and periodic review of environmental noise control.

(3) Program and budget for those resources required for environmental noise control.

(4) Report resource requirements for the conduct of the noise pollution control program in accordance with Subpart J of this part.

(e) Installation and activity commanders will—

(1) Comply with applicable Federal, State, interstate and local standards regarding environmental noise.

(2) Identify continuous or recurring sources of noise at an installation or by an activity which exceed standards; are an annoyance to others; are injurious to health; and develop remedial projects or procedures to reduce such noise to acceptable levels.

(3) Monitor the conduct of training activities producing inherently high noise levels for the purpose of minimizing its effect on nearby military and civilian populations.

(4) Maintain liaison with appropriate Federal, State, and local noise pollution abatement authorities, for the purpose of noise control measures insofar as installation and military operational requirements permit in accordance with Subpart A of this part.

(5) Program and budget for resources necessary to conduct an effective noise control program.

(6) Maintain a log of citizen complaints of noise produced by Army activities.

§ 650.166 Reports.

Sources of noise pollution will be identified and those requiring remedial action will be reported as specified in Subpart J of this part. An example of an exhibit prepared on a typical environmental noise control project is shown in Figure 10-7.

§ 650.167 References.

See table 7-1, for related publications to be used in conjunction with this subpart.

STANDARDS AND PROCEDURES

§ 650.168 Standards.

(a) Undue exposure to noise may be detrimental to the health and welfare of Department of Army personnel and members of civilian communities adjacent to military installations. Consequently it is necessary to assess major sources of noise to insure there are no adverse impacts. Normally this is accomplished by making sound level measurements and comparing them to established noise standards which include:

(1) Occupational noise level standards—a noise exposure standard established for the protection of hearing of workers by the Army Surgeon General and/or under the Occupational Safety and Health Act.

(2) Product noise source emission standards—maximum noise levels that may be produced by specified items of equipment under the authority of the Noise Control Act or State, interstate and local standards.

(3) Environmental noise standards—property use and/or operational noise levels that are permitted under those conditions specified in Federal, State, interstate and local standards and regulations.

(b) Occupational noise level standards applicable to the Army are contained in AR 40-5, AR 385-10, TB MED 251 and MIL-STD-1474(MD).

(c) Product noise emission standards are published in the Code of Federal Regulations (CFR). Army materiel excluded from compliance with such emission standards at the time of manufacture are aircraft, vehicles, weapons systems and other products produced for combat use. Commercially manufactured products or those adapted for general military use will comply with the following Federal noise standards:

(1) Commercial Aircraft—14 CFR Parts 21, 36 and 91.

(2) Motor Carrier Noise Emission Standards—40 CFR Part 202 and 23 CFR Part 772. (Section 18 of Noise Control Act only).

(3) Motors and Engines—40 CFR Part 206.

(4) Railroad Noise Emission Standards—40 CFR Part 201.

(5) Construction Equipment—40 CFR Part 204.

(6) Transportation Equipment—40 CFR Part 205.

(d) MIL-STD-1474(MD), Noise Limits for Army Materiel, establishes acoustical noise limits for Army materiel and prescribes the testing requirements and measurement techniques for determining conformance to the noise limits therein.

(e) Environmental noise will be assessed and controlled in accordance with the provisions set forth herein.

§ 650.169 Noise measurement standards.

(a) Noise pollution control standards are applicable to both existing and new Army facilities.

(b) Army facilities and activities will comply with applicable Federal, State, interstate and local noise standards unless a waiver is specifically obtained in accordance with § 650.175. Where no applicable noise regulations and standards exist, installation commanders will minimize noise intrusions into areas surrounding the installations to prevent them from being a source of complaint. An EPA manual that provides general guidance in the absence of specific standards is listed in reference 15, table 7-1.

(c) Measurements in decibels (dBA) should be used for measuring sound levels from Army activities or facilities.

(d) Environmental noise levels should be identified using an equivalent sound level description system known as Leq/Ldn. This new methodology supplements and may replace earlier techniques such as Composite Noise Ratings (CNR) and Noise Exposure Forecast (NEF). The basic reference is EPA Document 550/9-74-004, "Information on Levels of Environmental Noise Requisite to Protect Public Health and Welfare with an Adequate Margin of Safety," March 1974. It is available from the U.S. Government Printing Office. Use will be made of this descriptor system in discussing noise implications in all Environmental Impact Assessments (EIA) and Environmental Impact Statements (EIS). Other rating schemes may be used, but should be related to Leq/Ldn, e.g. the Leq/Ldn rating scheme may be inappropriate for certain types of noises, such as helicopter and blast noise.

§ 650.170 Assessment of noise.

The impact of environmental noise whose source is located on Army-controlled property will be included in an EIA or an EIS of any Army proposed action. Analyses of such significant sources of environmental noise as airfields and firing ranges should be based on field measurements by acoustical technicians.

(a) Technical assistance on land use management or real property associated noise problems (e.g., blast noise, etc.) can be obtained from U.S. Army Construction Engineering Research Laboratory (CERL), P.O. Box 4005, Champaign, IL 61820. A helpful reference on this matter is the CERL document: "User Manual for the Acquisition and Evaluation of Operational Blast Noise Data," (reference 13, table 7-1).

(b) Technical assistance to include field surveys and the preparation of environmental noise pollution evaluations relating to health and welfare considerations of all types of environmental noise problems can be provided by the U.S. Army Environmental Hygiene Agency. Requests for assistance should be sent to Commander, U.S. Army Health Services Command (HSC-PA), Fort Sam Houston, TX 78234. This assistance includes—

(1) The evaluation of existing or potential noise problems which are evidenced by complaints, litigation, or official inquiries;

(2) The assessment of those situations where existing or proposed civilian-community actions may adversely impact noise-sensitive areas located on Army installations;

(3) The assessment of those situations where a proposed civilian community action may be adversely impacted from an ongoing Army activity;

(4) The recommendation of measures to mitigate an existing or potential adverse noise impact;

(5) The evaluation of Department of the Army activities to insure that they comply with applicable noise standards and regulations; and

(6) The conduct of environmental noise assessments as input to Environmental Impact Statements, excluding all

projects involving land management and acquisition.

(c) Technical assistance, such as information and technical documents, is also available from the EPA. Inquiries may be sent directly to EPA Office of Noise Abatement & Control, Washington, D.C. 20460, or to the noise representative in the respective EPA Region (see fig 9-1 and table 9-3).

§ 650.171 Noise sources.

Common sources of environmental noise produced by military activities that may require some form of noise control include—

(a) Aircraft operations and training.
(b) Vehicles (combat and noncombat) operations and training.

(c) Weapons firing, explosives and demolition operations and training (blast noise, § 650.169(d)).

(d) Fixed noise sources (power plants and generators, manufacturing plants, industrial facilities, carpenter shops, dynamometer buildings etc.)

(e) Electrical and electronic equipment.

(f) Construction equipment operations and training.

(g) Recreational activities (e.g., snowmobiles, trailbikes, etc.)

(h) All other noise sources that exceed 55 dBA measured at a distance of 50 feet from the source.

§ 650.172 Noise control.

(a) Control of new and existing sources of environmental noise can normally be achieved by applying singly or in combination noise reduction at the source, altering the path of noise, and noise reduction at the receptor site. Further, low-noise-emission products and equipment will be acquired wherever possible.

(b) Engineering noise controls, establishment of noise buffer zones, site design and building construction for noise control, and similar land use planning techniques will be employed in the siting and design of new military structures and facilities.

(c) Projects and resources required to control sources of environmental noise, reported in accordance with § 650.166, will be programmed and budgeted using established procedures.

(d) To preclude the need for expensive engineering noise reduction techniques, the impact of environmental noise should be integrated into military land use planning. Attention will be given such matters in the master planning process (AR 210-20) with particular emphasis on—

(1) Routes of high volume traffic flow.
(2) Family housing area locations.
(3) Location of off-post residential areas.

(4) Sites of hospital complexes.
(5) Sites for on-post and off-post school facilities.

(6) Sites for new ranges, impact areas and airfields.

(e) The identification of critical noise rating contours at an installation for the purpose of aiding in land use planning

will be a required component of each Installation Master Plan (AR 210-20). Assistance in preparing data for these contours can be obtained through the Office Chief of Engineers (DAEN-MCE-P) and Construction Engineering Research Laboratory (CERL). Requests for such assistance are to be forwarded in accordance with reference 13, table 7-1. Blast noise, helicopter noise and truck noise programs are under development and OCE will issue Technical Reports in each area.

(f) Technical assistance in quantifying noise problems, identifying possible violation of standards, making noise surveys for inclusion in environmental impact assessments or impact statements, etc., may be requested from the U.S. Army Environmental Hygiene Agency (USA-EHA) in accordance with § 650.170(b).

§ 650.173 Noise complaints.

While not to be used as the sole criterion for judging the severity of environmental noise impacts, citizen complaints may be indicators of situations where noise control measures will be necessary. Such complaints should be logged, investigated and appropriate corrective measures taken wherever possible. In many instances, such problems can be resolved to the mutual satisfaction of the Army and the community through direct consultation among those involved.

§ 650.174 Low-noise-emission products.

Under section 15 of the Noise Control Act of 1972 (Pub. L. 92-574), the US Environmental Protection Agency is responsible for administering a national program for the development of low-noise-emission products. EPA certifies new products whose noise emissions are significantly below the EPA source emission standards for these products as low-noise-emission products. Such certified products of a commercial nature will be acquired by purchase by the Army in lieu of other products if the Administrator of General Services determines that the product costs no more than 125 per cent of the retail price of the least expensive type of product for which these are certified substitutes. Those products found to meet the low-noise-emission criteria will be announced as available through regular supply procurement sources (40 CFR Part 203 and Noise Control Act of 1972, section 15).

§ 650.175 Waivers and exemptions from noise standards.

Requests for exemption or waiver of a Federal or State noise standard will be forwarded through channels to HQDA (DAEN-ZCE) WASH DC 20310 who will take appropriate action to obtain OSD approval. Waivers will be requested for the specified period of time (normally one year) needed to permit compliance. Exemptions must be fully justified on the basis of mission accomplishment and military necessity.

TABLE 7-1.—RELATED PUBLICATIONS

Executive Order 11514, Protection and Enhancement of Environmental Quality, March 7, 1970 (35 FR 4247).

Executive Order 11752, Prevention, Control, and Abatement of Environmental Pollution at Federal Facilities, December 19, 1973 (38 FR 243).

DOD Instruction 4165.57, Air Installation Compatible Use Zones, July 30, 1973.

Noise Control Act of 1972, Pub. L. 92-574 (86 Stat. 1248).

Amendment to the Federal Aviation Act of 1958 to require Aircraft Noise Abatement (Pub. L. 90-411).

AR 40-5 Health and Environment.

AR 210-20 Master Planning for Permanent Army Installations.

AR 385-10 Army Safety Program.

AR 750-20 Prevention, Control, and Abatement of Pollution from Mobile Equipment.

TB MED 251 Noise and Conservation of Hearing.

MIL-STD 1474 (MI), Noise Limits for Army Material.

User Manual for the Acquisition and Evaluation of Operational Blast Noise Data, Technical Report E-42, Construction Engineering Research Laboratory, June 1974. Available under AD No. 782-911/2G1 from National Technical Information Service (NTIS), Springfield, VA 22151.

Predicting Community Response to Blast Noise, Technical Report E-17, Construction Engineering Research Laboratory, December 1973. Available under AD No. 773-690 from NTIS, Springfield, VA 22151.

HUD Dept. Circular 1390.2, Noise Abatement and Control: Department Policy, Implementation Responsibilities, and Standards.

EPA Document # 550/9-74-004, Information on Levels of Environmental Noise Requisite to Protect Public Health and Welfare with an Adequate Margin of Safety (March 1974).

Subpart H—Historic Preservation

GENERAL

§ 650.181 Purpose.

This chapter sets forth guidance and procedures to be used by the Department of the Army in the implementation of Executive Order 11593, "Protection and Enhancement of the Cultural Environment" (36 F.R. 8921, 16 U.S.C. 470), in accordance with:

(a) The Antiquities Act of 1906 (34 Stat. 225, 16 U.S.C. 431 et seq.).

(b) The Historic Sites Act of 1935 (49 Stat. 666, 16 U.S.C. 461 et seq.).

(c) The National Historic Preservation Act of 1966 (80 Stat. 915, 16 U.S.C. 470 et seq.).

(d) The National Environmental Policy Act of 1969 (83 Stat. 852, 42 U.S.C. 4321 et seq.).

(e) The Archeological and Historic Preservation Act of 1974 (88 Stat. 174, 16 U.S.C. 469 et seq.).

§ 650.182 Goal and objectives.

The Department of the Army goal is to protect through preservation, restoration or rehabilitation all sites, structures and objects of historical, architectural, archeological or cultural significance located on Army-controlled property. Objectives in attaining this goal are to identify, report and take those actions necessary to protect and preserve those Army-controlled properties (Historic Properties).

§ 650.183 References.

Related publications which should be used in conjunction with this regulation are contained in table 8-1.

§ 650.184 Policy.

The National Historic Preservation Act of 1966 (Pub. L. 89-665) establishes a national policy for historic preservation stating "that the historical and cultural foundations of the nation should be preserved as a living part of our community life and developed in order to give a sense of orientation to the American people." Therefore, it is the policy of the Department of the Army to—

(a) Locate, inventory, evaluate and nominate to the Secretary of the Interior all properties under Army jurisdiction or control that appear to qualify for inclusion in the National Register of Historic Places (National Register).

(b) Administer and maintain historic properties which are under Army control or jurisdiction in a spirit of stewardship and trusteeship for future generations.

(c) Assess all Army-controlled activities to minimize, eliminate or mitigate any adverse impact on historic properties.

(d) Initiate, plan and budget for support of programs necessary to preserve, restore or rehabilitate historic properties.

(e) Coordinate, when applicable, plans, programs, procedures and activities with the Advisory Council on Historic Preservation, the Secretary of the Interior, State Historic Preservation Officers, The National Trust For Historic Preservation, the Smithsonian Institution, and other Federal, State, or local historic organizations.

(f) Encourage and assist the Secretary of the Interior, non-Federal public agencies, local historical societies or similarly oriented organizations to administer and maintain historic properties where such activity does not adversely impact on the performance of the Army mission.

§ 650.185 Definitions.

Definitions as used in these procedures are contained in subparagraph 800.3, 36 CFR 800 (appendix).

§ 650.186 Responsibilities.

(a) The Chief of Engineers will exercise primary Army staff responsibility for directing and coordinating a Preservation Program for Army-controlled historic properties. The Chief of Engineers will—

(1) Promulgate policy and regulations on protection and enhancement of the cultural and historic environment which reflect Department of Defense guidance and policy.

(2) Establish and monitor the program to preserve, restore, or rehabilitate all Army-controlled properties of historical, architectural, archeological or cultural significance.

(3) Monitor surveys to identify all Army-controlled properties of historical, architectural, archeological or cultural significance.

(4) Provide guidance and direction to Army installations on the preparation of nominations to the National Register and reports submitted under section 106 of Pub. L. 89-665 and Executive Order 11593, as implemented in 36 CFR Part 800 (appendix).

(5) Maintain, as part of the Inventory of Real property, a record of all Army-controlled properties listed in the National Register. This record will include a copy of the nomination forms with all attachments for each listing and a record of all reports and memoranda of agreement as required under 36 CFR Part 800 (appendix).

(6) Review and evaluate construction programs and master plans to minimize or eliminate adverse impacts on Army-controlled properties of historical, architectural, archeological, or cultural significance.

(7) Insure that all actions undertaken with this guidance have been coordinated, where applicable, with local historical societies; State Historic Preservation Officers (SHPO); the Secretary of the Interior; the Advisory Council on Historic Preservation; the Smithsonian Institution; and the National Trust for Historic Preservation (appendix).

(8) Issue guidance and provide technical assistance on the development and execution of historic preservation projects.

(9) Process permits to authorize archeological investigations (AR 405-80).

(b) The Chief of Military History will—

(1) Publish by 1976 a comprehensive listing of Army-controlled properties listed in the National Register to include the historic significance, photographs and other factors as deemed appropriate. This publication will be updated with a supplement published every 3 years thereafter.

(2) Provide professional support as requested.

(c) Major Army Commands (MA COMS). Major Army Commanders will develop programs, in accordance with TM 5-801-1, Historic Preservation, which will encompass, at a minimum, the following:

(1) The conduct of initial, and triennial surveys thereafter, of installations under their control or jurisdiction to identify all properties of historical, architectural, archeological or cultural significance.

(2) The programming and budgeting of funds for the maintenance through preservation, restoration, or rehabilitation of structures, sites and objects of historical, architectural, archeological or cultural significance.

(3) The retention and use of historic properties which are a functional part of Army installations or are so located that their disposal is impractical.

(4) The nomination to the National Register of all Army-controlled properties which appear to meet the minimum criteria established by the Secretary of the Interior (appendix).

(5) The coordination of proposed actions having an effect on a registered and/or nominated historic property with the SHPO and the Advisory Council on Historic Preservation as required by 36 CFR Part 800. (§ 650.190 and appendix).

(6) The inclusion, where applicable, of evidence of compliance with 36 CFR Part 800 in each environmental assessment or environmental impact statement (§ 650.190).

(7) The maintaining of a record of each property under their control or jurisdiction which is listed in the National Register including a copy of the nomination forms with all attachments and a record of all reports and memoranda of agreement as required under 36 CFR Part 800.

(8) The protection of archeological sites by insuring that all investigations, excavations and salvage activities are undertaken with the written concurrence of the Secretary of the Interior and the Smithsonian Institution in accordance with AR 405-80.

STANDARDS AND PROCEDURES

§ 650.187 Standards.

The preservation, restoration, rehabilitation and maintenance of historic properties under Army control or jurisdiction will be accomplished in accordance with the standards and procedures established by the Secretary of the Interior and as promulgated by the Chief of Engineers in TM 5-801-1, Historic Preservation.

§ 650.188 Procedures for preparing nominations to the National Register (RCS DOI-1005).

Procedures for preparing nomination forms for Army controlled properties which appear to qualify for listing in the National Register of Historic Places are contained in TM 5-801-1. Completed forms will be forwarded through channels to HQDA (DAEN-MCP-A) WASH DC 20314. RCS DOI-1005 applies.

§ 650.189 Funding of Historic Preservation Activities.

(a) Funding for the requirements for historic properties will be accomplished through regular programming/budgeting channels.

(b) Historic properties in the Army Family Housing inventory will be funded in the Family Housing Management Account. Requirements for historic properties other than family housing will be supported by the appropriation financing all other real property maintenance activities on the installation.

(c) Projects for restoration and/or rehabilitation of historic properties, which include construction-type work in excess of \$50,000, will be included in the installation's military construction programs for accomplishment under MCA or FHMA programming procedures as outlined in AR 415-15 and 210-50. Block 25 of DD Form 1391 (Military Construction Project Data) of these projects will contain a statement identifying the project as supporting a historic property listed in the National Register.

(d) Projects for preservation of registered historic places, which include construction-type work not in excess of \$50,000, will be identified and processed for approval by the appropriate approving authority, as reflected in AR 415-35 and/or AR 420-10, and will be programmed and budgeted in the normal budget cycle. Requirements will be identified to the proper supporting appropriation (FHMA, OMA, OMAR, etc.) in the installation and command budget submissions (RCS CSAB 205 series), and specifically identified as supporting a historic property listed in the National Register (AR 415-15).

§ 650.190 Utilization of historic properties.

(a) Historic properties which are a functional part of Army installations or are so located that their disposal or out-leasing is impractical will be preserved and maintained by the installation commander. All efforts will be made to utilize these properties for military purposes in order to justify funds expended under this program. The concept of "adaptive use" (TM 5-801-1) for these properties compatible with their cultural values will be observed, whenever possible. Where this is not possible, a stabilization project will be developed to prevent further deterioration of the property.

(b) In all instances, the planned use of a historic property listed in the National Register will be reviewed with the SHPO and the Advisory Council on Historic Preservation in accordance with 36 CFR Part 800 (§ 650.190 and appendix).

(c) Historic Properties which would be more adequately administered by the Department of the Interior, non-Federal public agencies, local historical societies or similarly oriented organizations should not be retained by the Army. Therefore, when there is no adverse impact on the performance of the Army mission, the installation commander may recommend, in the Analytical Report of the Installation Master Plan, the disposal of a historic property for historic monument purposes in accordance with AR 405-90 and the Federal Property and Administrative Services Act of 1949 as amended, or recommend its outleasing for historic preservation, park and recreation or similar purposes in accordance with AR 405-80. In the latter case, the installation commander's recommendations must include assurances that the grantee has a viable plan for use of the property in a manner compatible with preservation objectives and policies. In such instances, the installation commander will notify the SHPO and the Advisory Council on Historic Preservation and, if appropriate, consummate a "Memorandum of Agreement" that the proposed action will not adversely affect the historical, architectural, archeological or cultural value of the property (§ 650.191).

§ 650.191 Compliance procedures.

(a) The applicable Federal Regulation that contains the review requirements of section 106 of Pub. L. 89-665 and Executive Order 11593 is 36 CFR Part 800, Pro-

cedures for the Protection of Historic and Cultural Properties, and is included in its entirety in the appendix.

(b) Any action which may have an effect on a National Register property or an historic place which appears eligible for listing in the National Register must go through two integral but separate review procedures. First, the environmental impact assessment (subpart B of this part) must identify cultural resources potentially affected by the proposed action. Second, where the identification of cultural resources indicates that properties included in the National Register will be affected, evidence of compliance with the review requirements of 36 CFR Part 800 shall be included in the environmental impact assessment and/or EIS Comments by the Advisory Council on Historic Preservation, should be included in the EIA or draft EIS and must be included in the final EIS.

(c) If there is an effect, but it is determined that the action will not have an adverse effect, a description of the proposed action together with the commander's determination of "no adverse effect" will be forwarded to the SHPO for comments. If the SHPO concurs in the findings, then a copy of this correspondence will be forwarded to the Executive Director of the Advisory Council on Historic Preservation (§ 650.191(f)). If there is no reply within 45 days, the action may proceed.

(d) If it appears that there will be an adverse effect, the installation commander will prepare a technical report documenting the identification of cultural resources, the assessment of the impact of the undertaking on those resources, and the feasibility of mitigative measures. All mitigative measures proposed to minimize adverse effects on properties included or eligible for inclusion in the National Register should have the concurrence of the SHPO and the Advisory Council on Historic Preservation and should be documented in a memorandum of agreement signed by all three parties. In most cases, an on-site inspection/consultation by the signees is required as part of the development of the memorandum of agreement. All correspondence regarding the determination of "no adverse effect," (§ 650.191(b)) or in obtaining a memorandum of agreement is to be forwarded to the parties directly involved with information copies to the appropriate major command and HQDA (DAEN-MCZ-E) WASH DC 20314.

(e) If a memorandum of agreement cannot be consummated, the case will be forwarded through Army channels to HQDA (DAEN-MCZ-E) WASH DC 20314, who will in turn forward it to the Advisory Council on Historic Preservation for review and evaluation. Where a memorandum of agreement cannot be obtained or an unfavorable ruling is obtained from the Advisory Council, then an Environmental Impact Statement containing the comments of the Advisory Council must be prepared covering the basic action and the proposed

mitigative measures. If it is determined that the Army should proceed with the proposed action and that action will result in the destruction or major alteration of the property, then records of the property, including measured drawings, photographs and written data will be prepared for deposit in the Library of Congress as part of the Historic American Buildings Survey or the Historic American Engineering Records in accordance with the standards promulgated by the Office of Archeology and Historic Preservation, Department of the Interior, Wash DC 20240. (TM 5-801-1 explains the standards and § 650.192 discusses archeology).

(f) Advice on matters relating to implementing 36 CFR Part 800 may be obtained from the Advisory Council on Historic Preservation as indicated below:

(1) Eastern Area: Executive Director, Advisory Council on Historic Preservation, Suite 430, 1522 K Street, NW, Washington, DC 20005, Telephone: (202) 254-3974.

(2) Western Area: Director, Western Office, Advisory Council on Historic Preservation, P.O. Box 25085, Denver, Colorado 80225, Telephone: (303) 234-4946.

§ 650.192 Archeological sites.

(a) The Secretary of the Army, under the authority of 16 U.S.C. 432, may issue archeological permits on Army-controlled installations after referral of the permit application to the Smithsonian Institution for his recommendations (AR 405-80).

(b) All Army-controlled property will be surveyed to identify and locate archeological sites. Due to the magnitude of such surveys, installation commanders will establish coordination with the appropriate field offices of the National Park Service, SHPO and/or EO 11593 consultant, to review current Army plans, programs and activities which may lead to the destruction of an archeological site and to develop survey schedules for affected areas. Since Army activities may necessarily lead to destruction of archeological sites, the survey must include value judgments assessing the relative significance of the surveyed sites so that destruction of the more significant archeological sites may be avoided.

(c) The National Park Service may not be able to provide timely surveys of archeological resources necessary for preparation of legally sufficient environmental statements on Army activities. In these cases, the installation commander is authorized to contract with outside experts for the survey of archeological sites after receipt of a written turn-down by the National Park Service, except as limited in paragraph (c) (2) of this section. Copies of all such surveys should be furnished appropriate field officials of the National Park Service.

(1) While such inventories would generally be confined to a literature search and a reconnaissance of the affected area, there may be occasions when testing of archeological sites will be necessary

in order to establish the need for the National Park Service to budget full-scale archeological survey programs at a later date.

(2) In any instance where estimated contract cost of such work exceeds \$25,000, the matter must be referred to HQDA (DAEN-MCZ-E) WASH DC 20314 prior to consummation of a contract.

(d) A copy of the program requirements for archeological investigations and salvage activities as jointly determined by the installation commander and the National Park Service will be provided HQDA (DAEN-MCZ-E) WASH DC 20314, in order to assist in overall program coordination between DAEN-MCZ-E and the Office of Archeology and Historic Preservation, Department of the Interior.

(e) Salvage activities. (1) Procedures for authorizing archeological salvage activities on Army-controlled property are contained in AR 405-80.

(2) Installation commanders are responsible for instituting security measures for the protection of an archeological site during salvage operations. Assistance in salvage operations may be made when determined to be within the capability of the installation.

(3) Permits for archeological investigations and salvage activities will identify a museum responsible for preserving artifacts found as a result of the investigation. Therefore, where appropriate, permits for archeological investigations on Army-controlled property will designate the post museum as the recipient of all specimens. If the post museum is not appropriate, the Commander, US Army Center of Military History will determine which museum will be designated.

(f) In the event that a suspected archeological site is encountered during construction or some other form of activity, operations in the area will be suspended until the Secretary of the Interior is consulted and the site is investigated by a professional archeologist approved by the Secretary of the Interior. All construction contracting procedures, both through direct contracting or by the District Engineer, will be amended to require the provision to obtain expert archeological analysis as required. Installation commanders and District Engineers are authorized to expend funds appropriated for Army activities for the survey and salvage of scientific, historic, archeological and paleontological resources which are being or may be irreparably lost or damaged as a result of those Army activities. Such expenditures may not exceed one percent of the project amount.

§ 650.193 National Historic Landmarks.

(a) The National Park Service regularly surveys historic properties under the National Historic Landmark Program. Designation of a National Historic Landmark automatically places the property in the National Register of Historic Places.

(b) Notification from the Department of the Interior that Army-controlled property has been designated as a National Historical Landmark will be forwarded through channels to HQDA (DAEN-MCZ-E) Wash, DC 20314. Also, subsequent correspondence regarding the landmark such as plaque application, notifications of annual visits and other related matters will be forwarded to the Department of the Interior with information copies to HQDA (DAEN-MCZ-E) Wash, D.C. 20314.

TABLE 8-1.—RELATED PUBLICATIONS

The National Register of Historic Places—1972. USDI (Available from the Superintendent of Documents, US Government Printing Office, Washington, DC 20402. Price \$7.80 domestic postpaid, or \$7.25 GPO Bookstore. Stock No. 2405-0294).

The National Register of Historic Places—Supplement—1974. USDI (Available from Superintendent of Documents, US Government Printing Office, Washington, DC 20402. Price \$9.45. Stock No. 2405-00542).

AR 210-20 Master Planning for Permanent Army Installations.
AR 405-80 Granting Use of Real Estate.
AR 405-90 Disposal of Real Estate.
AR 415-15 MCA Program Development.
AR 415-35 Minor Construction.
AR 420-10 General Provisions, Organization, Function and Personnel.
AR 430-70 Buildings and Structures.
AR 870-5 Military History: Responsibilities, Policies and Procedures.

Subpart I—Oil and Hazardous Substances Spill Control and Contingency Plans

GENERAL

§ 650.201 Purpose.

This chapter sets forth the procedures for the control of discharges of oil and hazardous substances under the Federal Water Pollution Control Act (FWPCA) Amendments of 1972 and as promulgated by US Environmental Protection Agency and US Coast Guard Regulations. Further guidance on hazardous and toxic materials management appears in subpart F of this part.

§ 650.202 Goal and objectives.

The Department of the Army goal, in support of national policy, is to prevent the discharge of oil and hazardous substances and to provide for the prompt, coordinated responses to contain and clean up spills should they occur. Objectives for attaining this goal are to—

(a) Transport, store, handle, and dispose of oil, fuels, lubricant products, and hazardous liquid substances in a safe and environmentally acceptable manner.

(b) Institute a responsive alert procedure in the event of a spill and be prepared to rapidly respond in the containment and cleanup of a spill.

(c) Plan for and cooperate with other Federal, State, Interstate and local Government agencies to insure that the public health and welfare are provided adequate protection from discharge of oils and other hazardous liquid substances.

§ 650.203 Explanation of terms.

For the purpose of this regulation and AR 500-60, the following apply—

(a) *Advisory agencies.* Departments or agencies which can make major contributions during response activities for certain types of discharges. These agencies are: the Nuclear Regulatory Commission; Department of Health, Education and Welfare; Department of Justice; Federal Disaster Assistance Administration; and Department of State.

(b) *Coastal waters.* Generally, those US waters navigable by deep draft vessels, the contiguous zone, the high seas, and other waters subject to tidal influence.

(c) *Contiguous zone.* The entire zone established by the United States under Article 24 of the Convention on the Territorial Sea and the Contiguous Zone. This is the zone contiguous to the territorial sea which extends 12 miles seaward from the baseline from which the territorial sea is measured.

(d) *Discharge.* Includes but is not limited to any spilling, leaking, pumping, pouring, emitting, emptying, or dumping that poses a threat to public health or welfare. For the purpose of the Spill Prevention Control and Countermeasure Plan (SPCC Plan) and the Installation Spill Contingency Plan (ISCP), the term discharge shall not include any discharge of oil which is authorized by a permit issued by a Federal or State authority; i.e., issued pursuant to section 13 of the River and Harbor Act of 1899 (30 Stat. 1121, 33 U.S.C. 407), or sections 402 or 405 of the FWPCA Amendments of 1972 (86 Stat. 816 et seq., 33 U.S.C. 1251 et seq.).

(e) *Discharge classifications.* The following classifications are provided for guidance and serve as criteria for reporting and general response actions. They are not meant to imply or connote associated degree of hazard to the public health or welfare, or a measure of environmental damage. A discharge that poses a substantial threat to the public health or welfare, or results in critical public concern will be classed as a major discharge, notwithstanding the following quantitative measures.

(1) *Minor discharge.* A discharge to the inland waters of less than 1000 gallons of oil, or a discharge of less than 10,000 gallons of oil to the coastal waters.

(2) *Medium discharge.* A discharge of 1,000 to 10,000 gallons of oil to the inland waters, or a discharge of 10,000 to 100,000 gallons of oil to the coastal waters, or a discharge of a hazardous substance in a harmful quantity as defined in EPA or Army regulations.

(3) *Major discharge.* A discharge of more than 10,000 gallons of oil to the inland waters, or more than 100,000 gallons of oil to the coastal waters, or a discharge of a hazardous substance that poses a substantial threat to the public health or welfare.

(f) *Hazardous substance.* An element or compound, or mixture, (other than oil) which, when discharged in any quantity onto land or into or upon navigable or coastal waters, presents an imminent and substantial danger to the public health or welfare, including fish, shellfish, wildlife, shorelines, and beaches; e.g., hazardous substances include strong

acids, strong bases, potentially toxic pesticides, or other bulk-stored chemicals used in manufacturing processes and maintenance or repair operations.

(g) *Inland waters.* Generally, those waters upstream from coastal waters.

(h) *Installation On-Scene Coordinator (IOSC).* The official pre-designated by the Army Installation Commander to coordinate and direct Army control and cleanup efforts at the scene of an oil or hazardous substance discharge on or adjacent to an Army installation.

(i) *Installation Response Team (IRT).* Those collective individuals on an installation designated to act in an emergency to perform those functions directed by the IOSC.

(j) *National Response Center (NRC).* The Washington, D.C., headquarters for coordinating activities relative to pollution emergencies. It is located at Headquarters, USCG.

(k) *National Response Team (NRT).* A team of representatives from the Primary and Advisory Agencies which serves as the national body for planning and preparedness actions prior to a pollution discharge and for coordination and advice during a pollution emergency.

(l) *Navigable waters of the United States.* "Navigable waters" as defined in section 502(7) of the FWPCA amendments of 1972 (Pub. L. 92-500) and—

(1) All navigable waters of the United States, as defined in judicial decisions prior to passage of the 1972 amendments to the FWPCA (33 U.S.C. 1251 et seq.), and tributaries of such waters;

(2) Interstate waters;

(3) Intrastate lakes, rivers, and streams which are utilized by interstate travelers for recreational or other purposes; and

(4) Intrastate lakes, rivers, and streams from which fish or shellfish are taken and sold in interstate commerce.

(m) *Nontransportation-related on-shore and offshore facilities.* Includes, but is not limited to, oil storage facilities and related equipment and appurtenances, as well as fixed bulk plant storage, terminal oil storage facilities, consumer storage, pumps, and drainage systems used in the storage of oil. These facilities include—

(1) Waste treatment facilities including in-plant pipelines, effluent discharge lines, and storage tanks, but excluding waste treatment facilities located on vessels and terminal storage tanks and appurtenances for the reception of oily ballast water or tank washings from vessels and associated systems used for off-loading vessels.

(2) Loading racks, transfer hoses, loading arms and other equipment which are appurtenant to a nontransportation-related facility or terminal facility and which are used to transfer oil in bulk to or from highway vehicles or railroad cars.

(3) Highway vehicles and railroad cars which are used for the transport of oil exclusively within the confines of a nontransportation-related facility and which are not intended to transport oil in interstate or intrastate commerce.

(4) Pipeline systems which are used for the transport of oil exclusively within the confines of a nontransportation-related facility or terminal facility and which are not intended to transport oil in interstate or intrastate commerce, but excluding pipeline systems used to transfer oil in bulk to or from a vessel.

(n) *Offshore facility.* Any facility located in, on, or under any of the navigable waters of the United States, which is not a transportation-related facility.

(o) *Oil.* Oil of any kind or in any form, including but not limited to, petroleum, fuel oil, sludge, and oil mixed with wastes other than dredged spoil. The terms "oil" and "POL" are used interchangeably in this regulation.

(p) *On-Scene Coordinator (OSC).* The Federal official pre-designated by the EPA or the USCG to coordinate and direct Federal discharge removal efforts in approved regional contingency plans at the scene of an oil or hazardous substance discharge.

(q) *Onshore facility.* Any facility located in, on, or under any land within the United States, other than submerged lands, which is not a transportation-related facility.

(r) *Potential discharge.* Any incident or circumstance which threatens to result in the discharge of oil or a hazardous substance.

(s) *Primary agencies.* Federal Departments or agencies comprising the NRT and designated to have primary responsibility and resources to promote effective operation of the National Oil and Hazardous Substances Pollution Contingency Plan. These agencies are the Departments of Commerce, Interior, Transportation, Defense, and the Environmental Protection Agency (EPA).

(t) *Public health or welfare.* All factors affecting the health and welfare of man. They include but are not limited to, human health, the natural environment, fish, shellfish, wildlife, and public and private property, shorelines, and beaches.

(u) *Regional administrator.* The Regional Administrator of the EPA, or his designee, in and for the region in which the facility is located.

(v) *Regional Response Center (RRC).* The Federal regional site for the control of pollution emergency response activities. It provides communications, information storage, and necessary personnel and facilities to promote the proper functioning and administration of regional pollution emergency response operations.

(w) *Regional Response Team (RRT).* A team of regional Federal representatives of the Primary or selected Advisory Agencies, which acts within its region as an emergency response team performing functions similar to those of the NRT.

(x) *Spill event.* A discharge of oil or hazardous substance on land or into or upon the navigable waters of the United States or adjoining shorelines in harmful quantities. For oil, a harmful quantity is that oil in excess of established State water quality standards; or that which causes a film, sheen, or discoloration on the surface of the water or adjoining shorelines; or quantities in ex-

cess of 1000 U.S. gallons on land. For other hazardous substances, quantity guidelines will be published by DAEN-ZCE when information is developed by EPA.

(y) **Toxic pollutant.** Those pollutants or combinations of pollutants, including disease-causing agents, which after discharge and upon exposure, ingestion, inhalation or assimilation into any organism, either directly from the environment or indirectly by ingestion through food chains, will cause death, disease, behavioral abnormalities, cancer, genetic mutations, physiological malfunctions (including malfunctions in reproduction) or physical deformations, in such organisms or their offspring.

(z) **Vessel.** Every type of watercraft or other artificial contrivance used, or capable of being used, as a means of transportation on water, other than a public vessel.

§ 650.204 Policies.

(a) A capability will be established and maintained to respond in emergency situations to promptly contain and clean up accidental DA-caused oil discharges and spills of hazardous and toxic substances that occur at or near Army installations and activities.

(b) Assistance will be provided to contain and clean up non-DA-caused spills under the provisions of the National Oil and Hazardous Substances Pollution Contingency Plan consistent with operational commitments.

(c) All materials (including oils, fuels, petroleum products, and other hazardous chemicals) will be handled, used, and stored to avoid or minimize the possibility of an accidental spill and potential pollution of land, air, and water.

(d) Storage facilities for oil and other hazardous substances (as described herein) will be designed to incorporate such safeguards as dikes, catchment areas, and relief vessels to contain the flow of oil and hazardous liquids and to minimize the contamination of land and water resources.

(e) DA agencies will cooperate with the Council on Environmental Quality, Department of Interior, Department of Transportation, the Environmental Protection Agency, and the Department of Commerce in the planning and execution of activities to minimize the possibility of discharges or mitigating the effects of spills, wherever they occur.

(f) Contracts for disposal of oil or other wastes will contain provisions that require the disposal method to be in accordance with Federal, State, and/or local regulations and standards.

(g) Each installation or activity with the capability of storing, dispensing or discharging oils, oil products, and bulk quantities of liquid toxic and hazardous substances will prepare, maintain and implement a current SPCC Plan and an ISCP as specified herein. (The requirements for a spill prevention plan and a spill contingency plan may be satisfied by one plan with two distinctive sections—SPCC and ISCP).

§ 650.205 Implementing guidelines.

(a) The willful discharge of oil, petroleum products or hazardous and toxic substances from installations, vehicles, aircraft, and watercraft onto land or into waters is prohibited except in cases of extreme emergency and if considered essential for the protection of human life. Every reasonable precaution, therefore, will be taken to prevent the accidental discharge of oil or petroleum products on land or water or their vapors to the air.

(b) Oil-water separators will be installed and maintained to reduce the oil content of oil-water wastes produced from vehicle and equipment washracks, industrial processes, steam cleaning operations, etc., to levels specified by Federal, State or local standards.

(c) The discharge of ballast water from vessels will be strictly controlled either by the use of ship-board or on-land oil-water separators capable of processing accumulated waste waters. Oil and fuel contaminated wastes produced during the cleaning of fuel storage tanks and combustion engine components will also be collected and treated for oil removal prior to discharge.

(d) Waste oil produced on Army installations will be collected, segregated, and protected to avoid contamination. Where cost effective, waste oil will be used as a fuel additive in large oil burning heating plants. Waste oil will not be used as a dust palliative on roads or other surfaces. If the generating installation does not have the capability to use the waste oil, it will be offered to other installations that are located within cost-effective transportation distances. If the oil cannot be cost-effectively used, it will be reported to a Defense Property Disposal Office in the area for disposal.

(e) Waste water discharges will be monitored for oil content and other toxic and hazardous substances in accordance with the provisions of the permits issued under the National Pollutant Discharge Elimination System (NPDES).

(f) DA will provide representatives to the RRT located in each of the Standard Federal Regions (figure 9-1) in accordance with § 650.206. The number of representatives may vary, depending upon the requirements in that Federal regional area and with details specified in each regional contingency plan.

(g) The RRT will be activated automatically if a major or potentially major discharge occurs. In any other pollution emergency, the RRT may also be activated upon an oral request by any Primary Agency representative to the Chairman of the RRT. Such requests for team activation shall be confirmed in writing.

(h) During a major pollution discharge involving activation of the RRT, the IOSC may be directed and controlled by the EPA or USCG OSC.

(i) In the event an installation commander provides assistance on non-DA caused spills (those not covered by EPA, USCG or the National Plan) a civil support release and/or reimbursement agreement should be obtained similar to

appendix A, AR 75-15. Paragraph 216011, AR 55-355, Assistance to Carriers, also provides guidance.

§ 650.206 Responsibilities.

(a) Department of the Army Staff.

(1) The Chief of Engineers will—(i) Promulgate basic policies and procedures for Department of the Army implementation of the National Oil and Hazardous Substances Pollution Contingency Plan (National Plan) for Army-caused discharges and for the preparation and implementation of SPCC and ISCP plans.

(ii) Provide technical direction, design guidance, and engineering procedures to military installations on implementation of SPCC and ISCP plans.

(iii) Provide primary and alternate members (for Civil Works) to the RRT in each of the Standard Federal Regions as required. Nominations will be provided directly to the Chairman of the RRT.

(2) Deputy Chief of Staff for Operations and Plans will exercise Army Staff supervision of DA support to the EPA and USCG in the cleanup of pollution discharges caused by other than Army agencies under the National Oil and Hazardous Substances Pollution Contingency Plan.

(3) The Inspector General and Auditor General, (Army Director of Safety) will provide assistance and guidance on the safety aspects of the storage, use, handling, and disposal of hazardous and toxic substances.

(4) The Surgeon General will provide assistance and guidance on the health and environmental aspects of the storage, use, handling, and disposal of hazardous and toxic substances.

(b) Major Army commanders will—

(1) Promulgate instructions for early preparation and periodic review of the ISCP for prompt identification, reporting, containment, and cleanup of accidental oil discharges and spills of hazardous and toxic substances at or near Army installations.

(2) Initiate a program for an initial survey and periodic evaluation of oil storage transfer and handling facilities for the purpose of developing an SPCC Plan for each installation.

(3) Program and budget for personnel, materials and equipment required for oil and hazardous substances spill prevention, containment and cleanup activities of DA-caused spills at Army installations.

(c) Commanding General, FORSCOM will—(1) Upon oral request, confirmed in writing by the EPA or USCG, provide personnel and resources support in accordance with the provisions of AR 500-60 during activation of the NRT and/or RRT and implementation of the National Oil and Hazardous Substances Pollution Contingency Plan. Such support is to be on a reimbursable basis.

(2) Provide primary and alternate representatives (for military matters) to the RRT for each Standard Federal Region as required. Nominations will be provided directly to the Chairman of the RRT.

(d) Installation and activity commanders will—(1) Establish SPCC Plans and ISCPs and procedures to prevent spills and to insure prompt reporting, containment, and cleanup of accidental discharges of oil and hazardous substances that occur at Army installations and nearby activities.

(2) Perform periodic surveys or inspections to verify compliance with the provisions of this regulation and to periodically test the effectiveness of SPCC Plans and ISCPs.

(3) Insure that all fuels, oils and hazardous materials (such as acids, bases, organic solvents, and other toxic chemicals) are used, stored and handled to avoid or minimize the possibilities of environmental pollution.

(4) Provide engineering safeguards (such as dikes, catchment areas, relief vessels) necessary to prevent pollution of navigable waters by accidental discharge of stored fuels, solvents, oils, and other chemicals.

(5) Identify in their ISCP (§ 650.214) other possible DA resources that could be made available to the RRT if DA agencies are requested to assist in the containment and/or cleanup of a non-DA caused spill in accordance with AR 500-60.

(6) When directed by CG, FORSCOM, provide available resources to support the OSC during implementation of the National Oil and Hazardous Substances Pollution Contingency Plan (AR 500-60).

(7) Inform the installation information officer and next higher information office about the anticipated news media coverage and local public reaction to an accidental discharge of oil or hazardous substances.

(8) Program and budget for personnel, materials, and equipment required for oil and hazardous substances spill prevention, containment and cleanup of DA-caused spills.

(9) Determine, for DA-caused off-post spills in the immediate vicinity of the installation, if his military organization is within the most reasonable distance of the pollution discharge and if he has the resource capability to respond to the discharge incident. If he does not respond to the containment and cleanup of the spill, the installation commander will insure that the RRT and appropriate DOD agencies are notified for necessary action.

(10) Insure that all reportable spills of oil and hazardous substances are reported through channels to DAEN-FEU and to EPA, USCG or other civil authorities (§§ 650.215-650.218).

§ 650.207 References.

See table 9-1 for related publications to be used in conjunction with this subpart.

SPILL PREVENTION CONTROL AND COUNTERMEASURE PLAN

§ 650.208 General.

Regulations have been issued by the US Environmental Protection Agency (EPA), as required by the Federal Water Pollution Control Act (FWPCA) amend-

ments of 1972, to prevent discharges of oil into the navigable waters of the United States and to contain these discharges if they do occur. These regulations require installations having certain nontransportation-related onshore and offshore oil storage facilities (as described below) to prepare, maintain, and implement a Spill Prevention Control and Countermeasure Plan (SPCC Plan) to prevent and control the discharge of oil and hazardous substances before they occur.

(a) The SPCC Plan will identify potential sources of oil and hazardous substances and the measures required to prevent and contain any accidental discharge resulting from equipment or storage facility failure. The SPCC Plan is directed by Title 40 CFR Part 112, copies of which are available from the EPA, Washington, DC 20242 or from any EPA regional office.

(b) Army installations will prepare and implement a current SPCC Plan when their oil or hazardous substance storage facilities meet any one of the following:

(1) Aggregate above-ground oil storage, at any one location on the installation, is greater than 1320 gallons.

(2) Any single tank above-ground oil storage, at any one location on the installation, is greater than 660 gallons.

(3) Total underground oil storage, at any one location on the installation, is greater than 42,000 gallons.

(4) Single bulk storage of hazardous liquid substances (acids, chemical solvents, etc.) is greater than 500 gallons. The 500 gallon limit represents that total combined quantity of hazardous liquid substance at a single storage location on an installation.

(5) Nontransportation-related onshore and offshore facilities which, because of their location or operations, could reasonably be expected to discharge oil or hazardous material in harmful quantities into or upon the navigable waters of the United States.

(c) For purposes of an SPCC Plan, the oil storage facilities will include, but not be limited to, storage for a facility such as a heating or boiler plant, electric generating unit, fuel dispensing or transfer facility, tank car or truck loading/unloading rack, bulk fuel storage, etc. An above-ground or underground oil storage facility may be a single tank or grouping of tanks in a localized area on an installation.

§ 650.209 Preparation and implementation of plan.

(a) An SPCC Plan will be prepared expeditiously by each installation having oil or hazardous substances storage facilities as required in § 650.208(b), and each plan will be periodically reviewed and updated as necessary.

(b) Completed plans will be fully implemented (including required construction and installation of equipment and/or training of personnel) as soon as possible after January 10, 1975. Newly activated installations will prepare an SPCC Plan within 6 months after the

date they begin operation and will fully implement it not later than 1 year after operations begin.

(c) An extension of time for the preparation and full implementation of an SPCC Plan beyond the times specified may be obtained from the EPA Regional Administrator. A copy of any request for an extension will be furnished through command channels to HQDA (DAEN-ZCE) Wash., DC 20310.

§ 650.210 Review and evaluation.

Each SPCC Plan will be—(a) Reviewed by a registered Professional Engineer (PE) and certified to have been prepared in accordance with good engineering practices, after on-site examination of the facility, and after familiarity with Title 40 CFR Part 112. This certification may be accomplished by a PE at the next higher command if no PE is available at the installation.

(b) Maintained current. Changes will be reviewed by a registered professional engineer and will be made available for on-site review by the EPA regional administrator at the office of the facilities engineer.

(c) Reviewed and evaluated at least once every 3 years. If the review shows that more effective prevention and control technology will significantly reduce the likelihood of a spill event and if the technology has been field-proven and can be procured and installed at the time of the review, the DA component will amend the SPCC Plan to include the more effective technology and have it certified by a registered professional engineer. Technological improvements should be included in Operation and Maintenance, Army or Major Construction, Army budgets as appropriate.

(d) Reviewed and amended in accordance with § 650.216, as required by the EPA Regional Administrator, whenever a facility has discharged more than 1,000 US gallons of oil into the navigable waters in a single spill event or when there have been two spill events within any 12-month period.

§ 650.211 Minimum plan requirements.

As a minimum, the SPCC Plan will contain—(a) A detailed description of the equipment and measures specified for oil spill prevention, control, and countermeasure, including structures and equipment for diversion and containment of discharges, facility drainage, and identification of resources to cleanup spills. Measures adopted should permit as far as practical reclamation of spilled substance. Many prevention and control requirements are similar to safety requirements for the design and operation of oil tanks, pipelines and pumping facilities.

(b) A description of each nontransportation-related spill event that has occurred at that facility within the past 12 months with corrective actions taken, and plans for preventing recurrence.

(c) An inventory list of storage, handling, and transfer facilities for which there is a reasonable possibility of a significant discharge of oil or other hazardous polluting substances. For each list-

ing, where experience indicates a reasonable potential for equipment failure (e.g., tank overflow, rupture, or leakage), include a prediction of the direction, rate of flow, and total quantity of oil which could be discharged as a result of a major type of failure.

(d) A graphic description showing all containment and/or diversionary structures or equipment required to prevent discharged oil from reaching a navigable water course. Included among the various preventive measures that can be employed are: Impervious berm and dike; curbing; culverting, gutters, or other drainage systems; weirs, booms, or other barriers; spill diversion ponds; and retention ponds. If it is not practicable to install structures, sorbent materials such as straw or commercial products can be used for containment or cleanup of spills at locations specified in the plan.

(e) When it is determined that the installation of the preventative structures or equipment listed § 650.211(d) is not practicable, the installation commander will demonstrate fully such impracticability and include the written provisions of the Installation Spill Contingency Plan (ISCP) in this section of the SPCC Plan.

§ 650.212 Detailed guidance.

In addition to the minimum prevention measures (§ 650.211), sections of the SPCC Plan will include a written analysis and complete discussion of conformance with applicable guidelines on other effective spill prevention and containment procedures. The guidelines are described in Title 40 CFR Part 112.7(e) and cover the following areas:

(a) Onshore facility diked storage drainage areas including valve restraints.

(b) Onshore bulk storage tank and dike construction material, liquid alarm systems and sensing devices.

(c) Facility transfer operations criteria for piping, valves, and inspection requirements.

(d) Facility tank car and tank truck loading/unloading rack, barriers, and warning requirements.

(e) Inspections and records procedures.

(f) Security fencing, pump control, pipeline connections and lighting systems devices.

(g) Personnel, training, and spill prevention procedures.

INSTALLATION SPILL CONTINGENCY PLAN

§ 650.213 General.

A National Oil and Hazardous Substances Pollution Contingency Plan was developed in accordance with the provisions of the Federal Water Pollution Control Act (FWPCA) Amendments of 1972 (33 U.S.C. 1151 et. seq.) and requires Federal agencies to develop a plan to cleanup discharges of oil and hazardous substances for which they are responsible. Commanders will maintain an Installation Spill Contingency Plan (ISCP) to identify resources to be used to cleanup discharges on Army installations and will be prepared to provide

assistance to non-DA agencies when requested. (AR 500-60 provides policy and guidance for the DA response to the National Oil and Hazardous Substance Pollution Contingency Plan to assist EPA and the U.S. Coast Guard (USCG) in spills caused by other than DA agencies).

(a) The ISCP will establish the responsibilities, duties, procedures, and resources to be employed, to contain and cleanup accidental discharges.

(b) All Army installations will maintain a current ISCP which will be reviewed and evaluated at least once every 3 years.

(c) The resources identified for possible use by a RRT in support of the National Oil and Hazardous Substances Pollution Contingency Plan are to be specifically identified as an element of the ISCP.

(d) The ISCP will be simulated at least annually by the installation commander in coordination with the responsible officers of the SPCC Plan in order to insure timely and effective personnel and equipment response in the event of an accidental discharge.

§ 650.214 Minimum plan requirements.

As a minimum the ISCP will contain—
(a) The name, responsibilities and duties of the installation on-scene coordinator (IOSC). The IOSC is the official pre-designated by the Installation Commander to coordinate and direct Army control and cleanup efforts at the scene of an Army caused oil or hazardous substance discharge on or adjacent to an Army installation.

(b) The specification, composition, and training plans of the installation response team (IRT) which acts as an emergency response team performing response functions as defined and directed by the IOSC. A preplanned location for an installation response operations center.

(c) IRT alert and mobilization procedures including provisions for access to a reliable communications system for timely notification of an oil or hazardous substance discharge.

(d) A current list of positions, telephone numbers, and addresses (e.g. names of key contact people in an ISCP appendix) of the responsible persons and alternates on call to receive notification of an oil or hazardous substance discharge as well as the names, telephone numbers and addresses of key organizations and agencies to be notified when a discharge is discovered.

(e) Surveillance procedures for the early detection of oil and hazardous substances discharges.

(f) Quantities and locations of manpower, equipment, vehicles, supplies, and material resources required to expeditiously contain, recover, and remove any maximum harmful quantity of oil or hazardous substance discharged by Army activities on post or at nearby Army operations. Plans will identify specific action for various size potential spills, (identified in the SPCC Plan inventory list (§ 650.211(c))), and will

identify a priority list in which various critical water uses are to be protected as a result of a discharge.

(g) Sources of additional resources that are available to an installation for the cleanup or reclamation of a large DA-caused spill, if such a pollution spill exceeds the response capability of the installation (e.g., resources such as U.S. Coast Guard, Air Force, Navy or private contractors). An established, prearranged procedure for requesting assistance, and agreements for acquisition of resources, during a major disaster or response exceeding situation.

(h) Procedures and techniques to be employed in identifying, containing, dispersing, reclaiming and removing oil and hazardous substances used in bulk quantity on an installation. Identification of chemicals (whose technical product data has been provided to and accepted by EPA) that may be used to concentrate, neutralize, collect, disperse and remove oil or hazardous substances discharges. Pollution control actions taken will be in accordance with applicable Federal, State, or local standards, EPA guidelines, and the current National Oil and Hazardous Substances Pollution Contingency Plan.

(i) Reporting procedures as required by §§ 650.215 and 650.216 in the event of an oil or hazardous substance discharge by Army activities.

(j) Army resources useful to the RRT in the event Army agencies are tasked to aid in the cleanup of a non-Army caused spill. Specific procedures to facilitate recovery of costs encountered during cleanup of non-Army spills are given in AR 500-60.

REPORTS OF ARMY ACCIDENTAL OIL AND HAZARDOUS SUBSTANCE DISCHARGES

§ 650.215 General.

All personnel assigned or employed by the Department of the Army will promptly report any observed oil spill, significant discharges of hazardous and toxic substances, or evidence of a spill by discovery of a slick or sheen on water from oil, gasoline, jet fuel, or other hazardous polluting substance. Spill events will be reported immediately by telephonic means to the USCG Local Unit, District Office or National Response Center (800) 424-8802. On-post spill events (§ 650.203) not entering navigable waters are to be reported in accordance with local procedures and off-post incidents should be reported to the nearest or appropriate political jurisdiction and to the RRT at the RRC.

§ 650.216 Pollution Incident Report (RCS EPA 1001).

(a) Medium and major spills (§ 650.203) and any discharge of more than 1,000 U.S. gallons of oil or a spill of more than 500 U.S. gallons of other hazardous liquid substance into navigable waters on or adjacent to an Army installation in the United States will be promptly reported by the IOSC by telephonic means to (800) 424-8802, or to the nearest USCG District Office, to the EPA Regional Office, and electronically through

channels to HQDA (DAEN-ZCE), Wash., D.C. 20310. (See figures 9-1 and 9-2 for Regions and Districts).

(1) When it has been determined by the OSC that a spill of a hazardous substance (less than 500 gallons) is in a harmful quantity or that the discharge poses a substantial threat to the public health or welfare, it will be classed as a medium or major discharge and a Pollution Incident Report will be submitted.

(2) The format for the Pollution Incident Report is given in table 9-2.

(3) Telephonic or electronic reports will be confirmed by a follow-up written message within 60 days after the spill to the EPA Regional Administrator, the NRT or RRT, as appropriate, and to DAEN-ZCE.

(b) When more than 1,000 U.S. gallons of oil (medium and major spills) or more than 500 U.S. gallons of a hazardous liquid substance (or any major discharge of a hazardous substance) have been discharged into or upon a navigable water in a single spill or when two spill events occur within any 12-month period, this written follow-up report will contain (in addition to the items in table 9-2) the following:

(1) Description of facility from which spill originated; (including maps, flow diagrams, and topographic maps) date facility was put into operation; storage or handling capacity; and normal daily/weekly through-put.

(2) Cause of spill, including a failure analysis of system or subsystem in which the failure occurred. Describe unique problems encountered.

(3) Post spill corrective actions, including resources committed, attempts to reclaim spilled substance and/or countermeasures taken. Include a description of equipment repairs and/or replacements.

(4) Effectiveness of response and removal actions by the discharger, State and local forces, or Federal Agencies and Special Forces.

(5) Additional preventive measures taken or contemplated to minimize the possibility of a recurrence and recommendations to improve response actions and chances for reclaiming if a similar spill should occur.

(6) A complete copy of the SPCC Plan with any amendments.

(c) Based on the above spill report information, the EPA Regional Administrator may require amendments to the SPCC Plan and will notify the commander concerned by certified mail. A copy of such report will also be submitted to the state water pollution control authority.

(d) Upon discovery of a spill in which the pollutant may flow past the boundary of the installation, or a spill into navigable waters, or a spill from a vessel, the IOSC will notify the installation Judge Advocate's office to insure that information, records, and samples adequate for legal purposes are obtained and safeguarded for future use.

§ 650.217 Reports on DA support provided to control non-DA spills.

Reports on the commitment of Army resources to spills, either requested by EPA or USCG, or by authority of the installation commander, in response to the provisions of the National Oil and Hazardous Substance Pollution Contingency Plan will be provided to Director of Military Support HQDA (DAMO-MS), WASH DC 20310, in accordance with the provisions of AR 500-60.

§ 650.218 Exclusions.

(a) Policies and procedures applicable to nuclear accidents and incidents as outlined in AR 360-5, AR 50-21, and AR 40-13 are not affected by this regulation.

(b) Policies and procedures applicable to chemical agent accidents and incidents as outlined in AR 50-21 and AR 385-40 are not affected by this regulation.

TABLE 9-1—RELATED PUBLICATIONS

Council on Environmental Quality—National Oil and Hazardous Substances Pollution Contingency Plan (40 FR 28, p. 6282, February 10, 1975).

EPA—Oil Pollution Prevention, Non-Transportation-Related Onshore and Offshore Facilities (38 FR 237, p. 34164, December 11, 1973).

The Federal Water Pollution Control Act Amendments of 1972 (Title 33 U.S.C. 1251 et seq.).

River and Harbor Act of 1899 (30 Stat. 1121, 33 U.S.C. 407).

Executive Order 11752, Prevention, Control and Abatement of Environmental Pollution at Federal Facilities (38 FR 243, p. 34793).

Marine Protection, Research and Sanctuaries Act of 1972 (86 Stat. 1052).

Department of Transportation—Discharge of Oil (Title 40 U.S.C. Part 110).

Pollution Prevention, Vessel and Oil Transfer Facilities, CFR Title 33, Chapter 1, Subchapter O, US Coast Guard.

AR 40-13 Radiological Emergency Medical Teams (REMT).

AR 50-21 Chemical Accident and Incident Control (CAIC).

AR 55-355 Military Traffic Management Regulation.

AR 56-9 Watercraft.

AR 75-15 Responsibilities and Procedures for Explosive Ordnance Disposal.

AR 385-10 Army Safety Program.

AR 385-40 Accident Reporting and Records.

AR 500-60 Disaster Relief.

TB 55-1900-206-14 Control and Abatement of Pollution by Army Watercraft.

TABLE 9-2—FORMAT FOR POLLUTION INCIDENT REPORT (RCS EPA-1001)

Item	Data
1	Name and location of installation.
2	Commander of installation and his phone number.
3	Date and time (GMT) of incident or time of discovery.
4	Severity of incident. Specify size of oil discharge (major, medium, minor).
5	Location of incident and specific areas affected by spill.
6	Cause and source of incident.
7	Type and estimated amount (barrels, gallons, liters, pounds) of pollutant. If applicable, length by width of slick.
8	Samples taken (yes or no)
9	Damage impact on surroundings (fish, wildlife, and underground waters, e.g. drinking water).
10	Potential dangers (fire, explosion, toxic vapor, etc.).
11	Corrective action to eliminate pollution source.
12	Corrective action to remove pollutant.
13	Assistance required.
14	Estimated completion date of remedial actions.
15	Anticipated or actual reaction by news media and public to the incident.
16	Other items required in the regional contingency plan and a general discussion of the incident.

Figure 9-1

STANDARD FEDERAL REGIONS
[EPA, HEW AND HUD REGIONS]

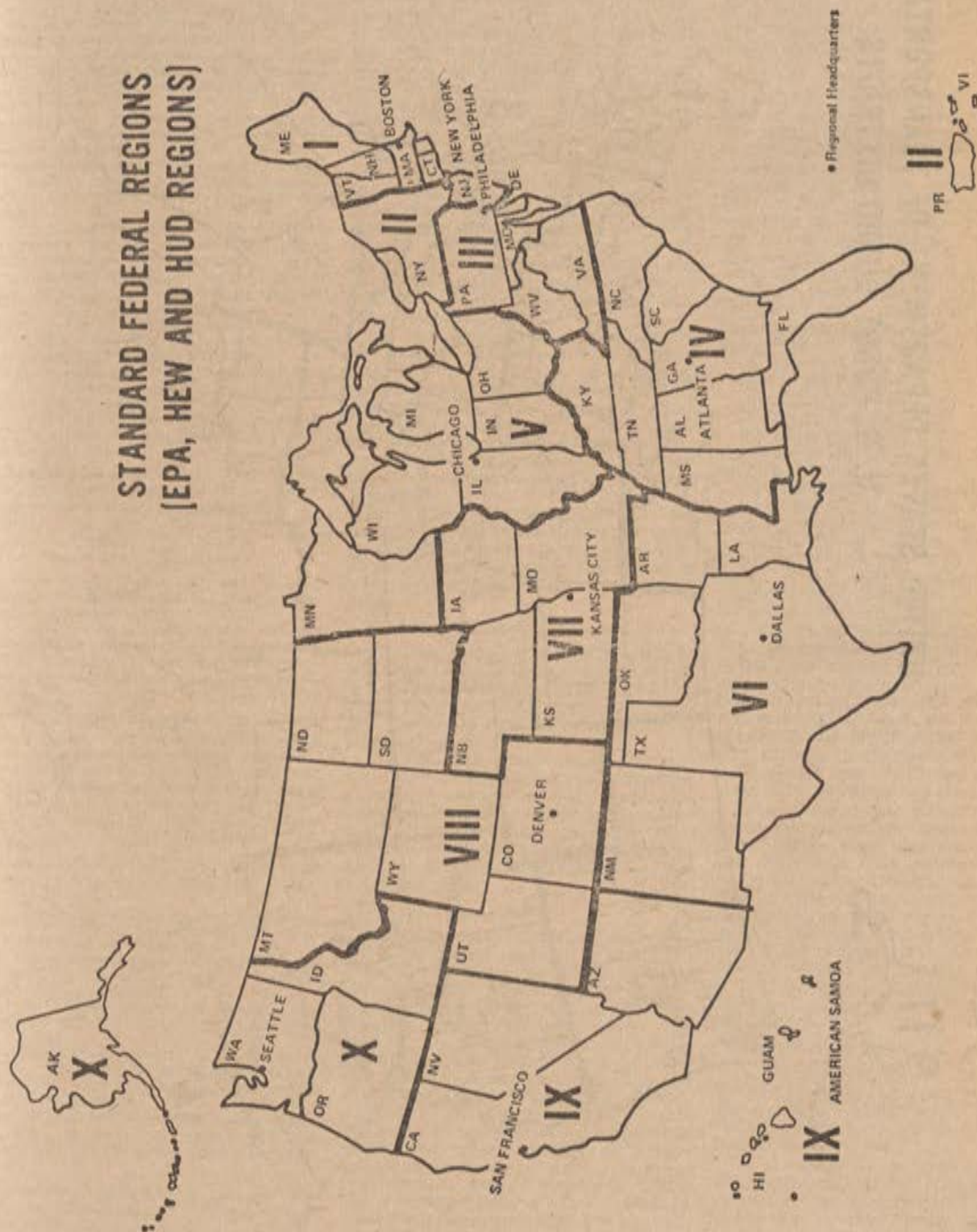


Figure 9-2

UNITED STATES DEPARTMENT OF TRANSPORTATION U. S. COAST GUARD DISTRICTS

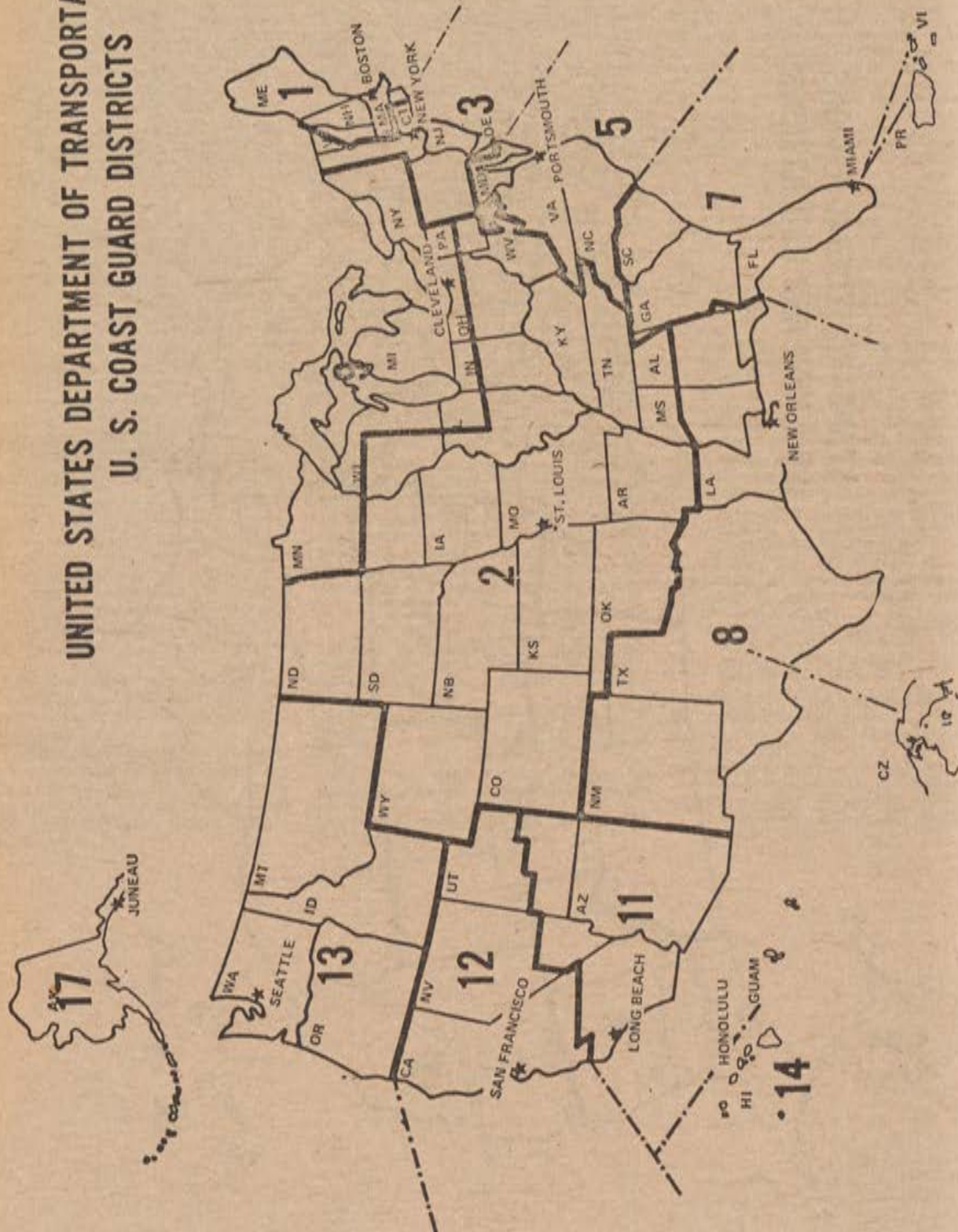


TABLE 9-3—ENVIRONMENTAL PROTECTION AGENCY

REGIONAL OFFICES

Environmental Protection Agency, Region I, Room 2303, John F. Kennedy Federal Building, Boston, MA 02203, Tel: (617) 223-7265.
Environmental Protection Agency, Region II, Room 908, 26 Federal Plaza, New York, NY 10007, Tel: (201) 548-8730.
Environmental Protection Agency, Region III, Curtis Bldg., 6th and Walnut Streets, Philadelphia, PA 19106, Tel: (215) 597-9898.
Environmental Protection Agency, Region IV, 1421 Peachtree St., NE, Atlanta, Ga. 30309, Tel: (404) 526-5062.
Environmental Protection Agency, Region V, Federal Building, 230 South Dearborn Street, Chicago, ILL 60604, Tel: (312) 896-7591.
Environmental Protection Agency, Region VI, Suite 1600, 1600 Patterson St., Dallas, TX 75201, Tel: (214) 749-3840.
Environmental Protection Agency, Region VII, 1735 Baltimore Ave., Kansas City, MO 64108, Tel: (816) 374-3778.
Environmental Protection Agency, Region VIII, Suite 900, 1860 Lincoln Street, Denver, CO 80203, Tel: (303) 837-3880.
Environmental Protection Agency, Region IX, 100 California Street, San Francisco, CA 94111, Tel: (415) 556-8254.
Environmental Protection Agency, Region X, 1200 Sixth Avenue, Seattle, WA 98101, Tel: (206) 442-4343.

Telephone numbers are 24 hour working numbers either through automatic switching or provision of answering services.

TABLE 9-4—DEPARTMENT OF TRANSPORTATION
US COAST GUARD DISTRICTS

1st Coast Guard District (I), 150 Causeway Street, Boston, MA 02114, Duty Officer: (617) 223-6650.
2nd Coast Guard District, Federal Building, 1520 Market Street, St. Louis, MO 63101, Duty Officer: (314) 622-4614.
3rd Coast Guard District (II), Governors Island, New York, NY 10004, Duty Officer: (212) 264-4800.
5th Coast Guard District (III), Federal Building, 431 Crawford Street, Portsmouth, VA 23705, Duty Officer: (703) 393-9611.
7th Coast Guard District (IV), Room 1018, Federal Bldg., 51 SW 1st Avenue, Miami, FL 33130, Duty Officer: (305) 350-5611.
8th Coast Guard District (VI), Customhouse, New Orleans, LA 70130, Duty Officer: (504) 527-6225.
9th Coast Guard District (V), 1240 East 9th Street, Cleveland, OH 44199, Duty Officer: (216) 522-3984.
11th Coast Guard District, Heartwell Bldg., 19 Pine Avenue, Long Beach, CA 90802, Duty Officer: (213) 590-2311.
12th Coast Guard District (IX), 630 Sansome Street, San Francisco, CA 94126, Duty Officer: (415) 556-8500.
13th Coast Guard District (X), 618 2nd Avenue, Seattle, WA 98104, Duty Officer: (206) 524-2902.
14th Coast Guard District, 877 Ala Moana Blvd., Honolulu, HI 96813, Duty Officer: (808) 546-7109 (Commercial only), AUTOVON—421-4845.
17th Coast Guard District, P.O. Box 3-5000, Juneau, AK 99801, Duty Officer: (907) 586-7340 (Commercial only), AUTOVON—388-1121.

Telephone numbers shown are available and manned 24 hours ("") denotes district office where coastal regional Contingency Plans for standard Federal regions are available.

Subpart J—Environmental Protection Control Report (RCS DD-I&L(SA) 1088)

GENERAL

§ 650.231 Purpose.

(a) This chapter provides reporting procedures to be followed within the Department of the Army to control environmental pollution from existing facilities as contained in section 3(a)(3) Executive Order 11752 of December 17, 1973, entitled, "Prevention, Control and Abatement of Environmental Pollution at Federal Facilities." This section of the Executive Order provides that "Heads of Federal agencies shall, with regard to all facilities under their jurisdiction in the United States: * * * (3) Present to the Director of the Office of Management and Budget (OMB), annually, a plan to provide for such improvement in the design, construction, management, operation, and maintenance of existing facilities as may be necessary to meet applicable standards specified * * *"

(b) The report described herein will be the principal mechanism for identifying pollution control projects and those resources needed to effectively execute installation and major command Environmental Programs. Properly defined information presented in this report can be used as a basis for necessary programming and budget actions by DA and major commands.

(c) These instructions implement OMB Circular A-106, dated 31 Dec 74, which supersedes OMB Circular A-78 and A-81, dated 18 May 70. Further, these instructions supersede those contained in AR 11-21.

§ 650.232 Explanation of terms.

(a) The terms used herein shall be the same as those defined in chapter 1.

(b) The term, "project" shall mean an action to achieve needed corrective measures relative to identified environmental pollution sources.

(c) The term "cost" shall mean the amount of funds required to install the necessary environmental protection measures. These funds include the capital costs of structures and equipment, irrespective of the appropriation chargeable, but not the annual maintenance and operating costs.

§ 650.233 Applicability.

Each active, semiactive and Army Reserve installation operated by or for the Department of the Army, and National Guard facilities/sites supported by Federally appropriated funds in the Continental United States; Alaska and Hawaii, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Panama Canal Zone, and the Trust Territories of the Pacific, whether Army-controlled or under jurisdiction of the Army by lease or similar instrument, where environmental protection measures do not meet the current requirements and/or standards established by appropriated Federal, State or local regulatory agencies are to be listed in the Environmental Pollution Control Report. Each installation identifying a new pollution source or environmental

protection requirement will report through command channels in accordance with these instructions. Negative report will be rendered by responsible commands in the form of a listing of those installations where remedial measures are not needed to correct a source of pollution or where no additional resources are needed to meet the provisions of this regulation.

§ 650.234 Scope.

(a) The report described herein consists of one exhibit to be prepared at the installation or activity level and two exhibits to be prepared at the major command level. Reports are to be forwarded through channels to HQDA (DAEN-FEU) WASH, DC 20314, by November 15, and May 15, of each year. The exhibits will reflect information as of October 20, and April 20.

(b) Exhibit 1 is entitled—Proposed Project Report. Separate Exhibits will be prepared for each project or activity on an installation in each of the following categories:

- (1) Air Pollution.
- (2) Water Pollution.
- (3) Solid Waste Pollution.
- (4) Radiation Pollution.
- (5) Noise Pollution.
- (6) Pesticide and Hazardous/Toxic Materials Pollution.
- (7) Environmental Management.

(c) Exhibit 2 is entitled—Status Report. It indicates the amount programed, appropriated, or funded; the Current Working Estimate (CWE); and the status of each active project. Separate exhibits will be completed by the major commands for each category or projects (i.e. air, water, noise, solid waste, etc.). After the initial report, marked-up copies of the ADP printout giving an update on all previously reported projects is all that is necessary. The ADP printout to be used for this purpose will be provided by HQDA (DAEN-FEU) WASH, DC 20314.

(d) Exhibit 3 is entitled—Narrative Report. Major commands will provide a short explanation of the objectives that will be achieved, the elements of their environmental program that will be given particular emphasis over the short term, and the extent that statutory pollution control requirements and DA environmental goals and objectives will be satisfied by executing the projects or actions listed in the report. For any specific portion of the program that requires more than 12 months to complete, an identification of the major milestones for accomplishing the various actions are also to be included.

§ 650.235 Responsibilities.

(a) Department of the Army Staff.

(1) The Chief of Engineers will compile the overall DA report based on submissions from major commands and the National Guard Bureau.

(2) The Chief, Army Reserve will monitor those reports by the major commands to insure that Reserve installations for which they provide logistic support are included in the Pollution Control Report.

(3) The Chief, National Guard Bureau will submit a report to the Chief of

Engineers including those projects for National Guard sites or installations which are supported by Federally appropriated funds.

(b) *Major Commands.* (1) Major commands controlling installations or activities, or providing logistical support to Reserve installations in the United States, District of Columbia, Puerto Rico, Canal Zone, Guam, American Samoa, Virgin Islands and the Trust Territories will submit reports in accordance with this regulation.

(2) Major commands controlling installations or activities in overseas areas will submit reports identifying pollution abatement projects required for compliance with host nation regulations, international or Status of Forces Agreements.

(3) Commander, US Army Materiel Command will submit reports on retrofit projects and programs to bring mobile sources (vehicles, aircraft and watercraft) into compliance with air, water and noise standards.

INSTRUCTIONS FOR THE PREPARATION AND SUBMISSION OF EXHIBITS

§ 650.236 Exhibit 1—Proposed Project.

(a) An Exhibit 1 will be prepared and maintained current for all known pollution control projects using the format in figure 10-1 and for valid environmental protection resource requirements using the format in figure 10-2. Exhibit 1's previously submitted on air and water pollution control projects which are still valid, but not yet completed, do not have to be resubmitted in the new format except when a significant change takes place to make the earlier Exhibit 1 obsolete. Exhibit 1's are not required for completed projects.

(b) Exhibit 1's for new or revised projects or requirements will be submitted semi-annually by November 15, and May 15, of each year to DAEN-FEU based on the latest information as of 30 days prior to the above reporting dates.

(c) Each project will be identified as to the category of pollution control needed (i.e., air, water, solid waste, radiation, noise, pesticides, and environmental management). Projects within a category will be assigned consecutive numbers by DAEN-FEU beginning with "1." Project numbers are for permanent identification and may not be reassigned to new projects. Existing air and water pollution control projects previously numbered under RCS DD-I&L(SA) 1088 are to be continued under their originally assigned numbers. These project numbers apply strictly to this report and are not to be confused with or to replace programing line-item numbers.

(d) Each project at the same installation required for a distinct and separate purpose is to be considered a separate project. Separate projects will be reported individually using the project number assigned by DAEN-FEU.

(e) Every item in Figures 10-1 or 10-2 is to be completed for each project. Where no entry is appropriate, enter NA (Not applicable). A specific effort

must be made by the installation to obtain any information not immediately on hand.

(f) The following will be reported as other relevant information:

(1) Item 10 of Exhibit 1 will include information not shown elsewhere on the exhibit which is necessary for the evaluation of the project. For example, where the command knows of changing circumstances which will affect the practicability of undertaking a project at a particular facility (e.g., replacement of a facility or a change in installation mission which would alter control needs), these changes are to be stated. If a project is discontinued, state in this item the reasons and circumstances, if any, which might lead to a re-activation of the projects (e.g., plant is put in layaway; re-activation would be based on further troop strength increase or mobilization requirements).

(2) For facilities leased by the Army which are subject to the provisions of this regulation, describe under Item 10 the lease arrangements that would affect the requirements for control measures for such facilities. Such projects will be included in Exhibit 2 with a reference in the margin to the explanation given on Exhibit 1.

(3) If a project proposed in one environmental category is likely to generate pollution of other types, Item 10 is to include a brief description and how it is to be controlled.

(4) Citations or other forms of litigation by regulatory agencies or other official entities will be reported under Item 10.

(g) Enter in Item 11, Figure 10-1 or Item 5, Figure 10-2 known or estimated funding requirements by appropriation account (OMA, MCA, etc.). (This source of project and cost data can be helpful to major commands in the development of annual budget requests to support their environmental program.)

(i) *Air.*—(1) Item 2. Identify the pollutant(s) by name for which the project will be required (for example: Particulate matter, sulfur oxides, hydrocarbons, carbon monoxide, nitrogen oxides, etc.).

(ii) Item 3. State the amount of pollutants emitted by each point of emission being controlled within the facility. These amounts should be measured amounts if available and expressed in the same terms of the applicable emission standard, normally State Standards (e.g., lb/hr, ppm, etc.) in Item 8 at maximum process operating rate.

(iii) Item 4. Identify the specific emission point(s) which the project will control. This identification should be specific (e.g., two coal-fired boilers in building "xyz" rather than just "boiler").

(iv) Item 5. Specify the existing pollution control measures at the individual emission points. If no control measures are being utilized, so state.

(v) Item 6. Indicate the percentage of the pollutant which the control device removes.

(vi) Item 7. Indicate the type control device or process modification to be utilized to control emissions.

(vii) Item 8. Cite the applicable Federal, State or local air pollution emission control standard which the facility is required to meet, referencing the specific code, chapter, and part. Also, include the date the statutory requirements became effective.

(viii) Item 9. Indicate the project schedules proposed by the installation and that required by the statutory standards listed in Item 8. If the schedule for achieving compliance differs from statutory, regulatory, or other milestones and deadlines, indicate the dates the facility will meet them and explain why the statutory or regulatory dates will not be met. If a compliance schedule has been negotiated and accepted by the Regional EPA administrator, list those dates in lieu of those cited in a statute or regulation and indicate the date the compliance schedule was accepted.

(ix) Items 10 & 11. Complete according to instructions §§ 650.236 (a) thru (f).

(2) *Water.*—(i) Item 2. Describes specific pollution and nature of problem, e.g., unintercepted washrack wastes containing oil and grease; overloaded sewage treatment plant bypasses raw or partly treated sewage to river; combined sewage overflow carries untreated sewage to lake, etc. Use this item and items 3, 6, and 7 as appropriate to describe infiltration inflow problems and measures required by NPDES permit and/or by "Spill Control and Countermeasure Plans" formulated pursuant to 40 CFR Part 112, "Oil Pollution Prevention," and promulgated in chapter 9 of this regulation.

(ii) Item 3. Show amount of waste generated and treated. Indicate gpd, tgd, or mgd.

(iii) Item 4. Show whether discharge is due to water (name of receiving water and location thereon), sewer system (name), land application, subsurface (e.g., septic system, drainfield, etc.).

(iv) Item 5. If problem as described in items 2 and 4 does not relate to an existing or proposed treatment plant, identify in this item the plant, if any, which ultimately receives, or will receive, and treats the wastewater.

(v) Items 6 and 7. In appropriate item, show existing and proposed ppm and/or lbs. in influent and effluent and percent removal for all principal polluting constituents. As a minimum BOD (COD and TOC where applicable) and suspended solids data should be shown wherever possible.

(vi) Item 8. Cite the applicable Federal, State or local discharge standard which the facility is required to meet, referencing the specific code, chapter and part. Also include date statutory requirement became effective. Briefly summarize the discharge limitations if a NPDES permit has not been issued. When a draft or final NPDES permit has been issued, indicate:

(A) When a permit application was submitted;

(B) the application and/or permit number, and the effective and expiration dates of any permit(s) issued; and

(C) the conditions of each permit in summary form, other than the compliance dates which are to be entered in Item 9.

(vii) *Item 9.* Indicate the project schedules proposed by the command and as required by the standards listed in Item 8. Where issued, NPDES permit schedules should be entered in the Regulation Schedule column. If the command schedule for achieving compliance differs from the regulatory, or NPDES scheduled dates indicate the date the facility will be in compliance and explain why the required dates will not be met.

(viii) *Item 10.* Under lease construction arrangements, state who is responsible for obtaining NPDES permits or for meeting schedules and requirements.

(ix) *Item 11.* Provide funding requirements.

(3) *Solid waste—(1) Item 2.* Indicate the activity which is not in compliance with solid waste disposal standards; i.e., waste collection, segregation of wastes, siting or operation of sanitary landfill.

Note: Particular attention is to be given to controlling leachate from landfill seeping into ground or surface water sources, control of surface runoff, sanitation of waste collection and transfer systems.

(ii) *Item 3.* If specific amounts of pollution are known, list or otherwise provide best estimate.

(iii) *Item 4.* Give details of the problem; i.e., whatever it is that is not in compliance with standards.

(iv) *Item 5.* Indicate, as applicable, quantities, types, and sources of solid waste handled; frequency of operation; year of original construction/operation; design life; and estimated remaining life.

(v) *Item 6.* Discuss effectiveness of existing solid waste management system or practices, if applicable.

(vi) *Item 7.* Give brief description of proposed project which will bring operation into compliance.

(vii) *Item 8.* Specify the DA, EPA, or other solid waste management guideline applicable and the specific requirement that makes the project necessary and the effective date of the regulation.

(viii) *Items 9, 10 and 11.* Complete according to instructions §§ 650.236 (a) thru (f).

(4) *Radiation—(1) Item 2.* Identify specific type of pollutant; i.e., plutonium, cobalt 60 and other substances emitting ionizing radiations.

(ii) *Item 3.* Indicate levels of contamination (Curies or subunits, etc.)

(iii) *Item 4.* Give details of the problem.

(iv) *Item 5.* Explain current protection measures being employed, if any.

(v) *Item 6.* Discuss effectiveness of current control measures.

(vi) *Item 7.* Give brief description of proposed remedial measures.

(vii) *Item 8.* Specify AEC, EPA, or DA standards that are applicable and effective date of the regulation.

(viii) *Items 9, 10 and 11.* Complete according to instructions §§ 650.236 (a) thru (f).

(5) *Noise Pollution—(1) Item 2.* Specify the character of the noise if known or by answering the following questions:

(A) Is the noise impulsive or non-impulsive?

(B) Is the noise on continuously or is it on-and-off intermittently?

(C) When the noise is on, is it steady in level, or does the level of loudness fluctuate?

(D) Is there a discernable tone or whine in the noise?

(ii) *Item 3.* Specify: (A) the sound level, if measured, and the measurement methodology utilized; (B) the elevation of the noise source, and the distance from the source to the noise impacted area; (C) identify the facilities or areas affected including the nature of the activities affected by the noise intrusions; e.g., churches, schools, hospitals, homes, recreational areas, offices and business areas, etc., and (D) whether areas affected are on or off-post. Technical assistance on identification and characterization of noises should be requested from Commander, US Army Health Services Command (HSC-PA), Fort Sam Houston, TX 78234.

(iii) *Item 4.* Identify the specific course of noise pollution which requires control. Report as a minimum, those sources which have been the subject of citizen complaints.

(iv) *Item 5.* (A) Give description of existing level of noise control provided in terms of noise control management techniques such as engineering noise reduction, land use planning, or administrative procedures on controlling the source, path or receptor.

(B) State if sources of acoustic expertise were provided by an acoustical laboratory within the Army, or from commercial acoustical consultants to obtain noise level data.

(v) *Item 6.* Describe the effectiveness of existing treatment and control measures.

(vi) *Item 7.* Describe any remedial measures proposed and estimated effect in correcting the noise problem.

(vii) *Item 8.* Specify those portions and effective dates of applicable Federal, State or local noise regulations, statutes, standards to which the project responds, and the acceptable sound level permitted thereafter. If no regulations are known to apply, indicate if the nature of citizen complaints would justify some form of corrective action.

(viii) *Item 9.* Indicate the project schedules proposed to comply with standards listed in Item 8. If the schedule for achieving compliance differs from statutory or regulatory laws, indicate the dates the requirements will be met and explain the reasons therefor.

(ix) *Item 10.*

(A) Identify the complaints received on the noise source in terms of the nature and number of complaints, source of complaints (military or civilian) and how they were registered with the installation (e.g., petitions, phone calls, letters, telegrams, etc.).

(B) Indicate if any legal actions are anticipated or have been initiated against the installation as a result of this reported source of environmental noise pollution.

(x) *Item 11.* Provide funding requirements.

(6) *Pesticides and hazardous/toxic materials.* (1) Projects to be reported should involve the control and abatement of pesticide and hazardous/toxic material pollution. Do not describe proposed and/or current programs involving the use of pesticides. Examples of pollution control projects would be measures to correct inadequate storage or disposal facilities to clean up land areas contaminated as a result of a pesticide spill, to provide mixing tanks and bathing facilities for personnel to repackage leaking chemical stock's, etc.

(ii) *Item 2.* Identify the pesticide or chemical that is the source of pollution and indicate the reason for correcting existing conditions.

(iii) *Items 3 thru 6.* Complete according to instructions (§§ 650.236(a) thru (f)).

(iv) *Item 7.* Describe the proposed method of disposal or nature of proposed corrective action.

(v) *Items 8 thru 11.* Complete according to instructions (§§ 650.236(a) thru (f)).

(7) *Environmental Management.* (1) Exhibit 1-EM (figure 10-2) will be used to identify needed resources not included in an Exhibit 1 prepared in accordance with a previous paragraph but are required to comply with the provisions of this regulation. Items to be reported are those needed for the management of an installation environmental program and can logically include:

(A) NEPA resources—Preparation of Environmental Assessments and Environmental Impact Statements.

(B) Manpower resources—Full time environmental coordinators, staff officers, instructors, etc.

(C) Training—Schooling for operators (i.e., sewage treatment plant operators, lab technicians, pesticide applicators); training for management personnel (i.e., environmental co-ordinator, sanitary engineers, etc.).

(D) Environmental surveys—Ecological or archeological surveys of an installation to obtain information needed for an Environmental Impact Assessment or an Environmental Impact Statement (EIS or EIS).

(E) Special studies—Technical or engineering studies to define sources of pollution and identify possible remedial measures.

(F) Other—Specify.

(ii) *Item 2.* Identify the basic requirement using the identifications in subparagraphs (1) (i) (A) through (F) of this paragraph.

(iii) *Item 3.* Explain the requirement and provide a brief justification for any new or additional resources needed for the management of the installation environmental program.

(iv) *Item 4.* List only those items which are quantifiable, such as number of personnel required, special equipment items, school courses, man-year requirements for studies, etc. by fiscal year.

(v) *Item 5.* Cite one-time costs or 5-year projected costs by appropriation as applicable.

(vi) *Item 6.* List other relevant information and specify. (See example and § 650.238(f)).

(h) Sample Exhibits—Examples of Exhibit 1's for each of the media are shown in figures 10-3 through 10-9.

§ 650.237 Exhibit 2—Status Report.

(a) Exhibit 2 is a command report which provides a financial summary of the projects in the program and their status. A separate Exhibit 2 is required for each media or category of projects (i.e., air, water, noise, solid waste, etc.) and will be submitted semi-annually along with Exhibit 1's on November 15, and May 15 of each year.

(b) Exhibit 2 will include all active projects plus those completed or discontinued subsequent to the submission of the previous report. Once a project is reported as completed or discontinued, it will be dropped from the report. The May 15 report will contain all projects which the command will submit in the next fiscal year budget. In addition, the November 15 report will reflect congressional appropriation action taken on the prior fiscal year budget.

(c) The initial Exhibit 2's for each media will be prepared by the reporting command using the format in Figure 10-10. Subsequent reports will be only an update of the previous command report. As each Exhibit 2 is received from a command, it will be converted to an ADP printout and returned to the reporting command by DAEN-FEU in 45-60 days for use in the next report update. The following updating procedures will be observed:

(1) One copy of a marked-up printout of the previous Exhibit 2 will accompany the semi-annual report.

(2) Corrections, changes and additions will be made neatly with a RED marking pen.

(3) An asterisk in the left margin will be used to identify projects which have been completed, discontinued or changed.

(4) New projects will be added to the bottom of the appropriate media printout.

(5) Exhibit 2's submitted on May 15 will contain the amount included or proposed to be included in the President's budget for each project, or the amount actually appropriated or funded.

(6) Major Command updating will be done only for non-MCA funded projects. MCA funded project status will be updated by DAEN-FEU.

(7) Each revision of Exhibit 2 will reflect the information as of October 20 and April 20, as appropriate.

(8) Funding totals by appropriation type for each fiscal year and for each media reported will be provided at the bottom of the last page:

(9) Current and relevant information will be presented in the "Status" column using the following format:

(i) Indicate "PP —" if the project is in the preliminary planning stage. The blank provided should contain the estimated completion date for construction.

(ii) Indicate "DES —" if the project is under design or has been designed, but is not under construction. The blank provided should contain the estimated completion date for construction and not the completion date of design.

(iii) Indicate "CON —" if the project is under construction. The blank provided should contain the estimated completion date.

(iv) Indicate "CPL —" if the project has been completed. The blank provided should contain the actual completion date.

(v) Indicate "DIS" if the project has been discontinued or dropped. Reasons should be given.

(vi) Indicate "DEF" if the project has been deferred or significantly delayed. Reasons for and what corrective actions taken, if any, should be given.

(vii) Indicate "OTH" if other than the above circumstances apply. An explanation should be given.

§ 650.238—Exhibit 3—Narrative Report.

(a) The Narrative Report will be a brief summary of the command environmental program. No specific format is prescribed; however, it will contain the following:

(1) Financial displays for the current FYDP period by appropriation account (MCA, PA, OMA, etc.) and by program media (air, water, noise, etc.). The elements of the program presented in the Exhibit 1-EM are to be aggregated by management activity to identify funding requirements for training, preparation of EIA/EIS, environmental surveys and studies, personnel costs, etc.

(2) An explanation of the environmental objectives to be achieved by completing the projects reported or funding those activities contained in Exhibit 1's. For any specific portion of the program that requires more than 12 months to complete, identify the major milestones for accomplishing the actions.

(3) Elements of the command program that will be given particular emphasis over the short term.

(4) Projection of when statutory pollution control requirements, Federal or state, will be satisfied by the various elements of a command.

(5) Summary of potential or pending environmental litigation involving installations within the command.

(6) Explanation of anticipated problem areas requiring DA assistance.

(b) The content of the narrative report is basically a forecast of how the major command intends to accomplish its environmental program during the succeeding 12 months. This requirement should not be confused with the requirement for the annual status report (RCS DD-H&E(A) 1269), specified in § 650.9 of Subpart A of this part of this regulation, which is an annual summary of en-

vironmental protection accomplishments for the specified preceding calendar year.

EXHIBIT 1

CIRCULAR NO. A-106

ENVIRONMENTAL POLLUTION CONTROL

Proposed Project Report

Agency: _____ Project No: _____
Media: _____ Date Prepared: _____
Date Revised: _____
GSA Inventory Control No.: _____

1. Facility.

Name: _____

Address: _____

(city, county, state)

Agency contact: _____

(name, title, telephone)

2. Specific Type of Pollution.

3. Amount of Pollution.

4. Pollution Source, and Discharge, Emission, or Deposit Point.

5. Existing Treatment and Other Control Measures.

6. Effectiveness of Existing Treatment and Control.

7. Remedial Measures Proposed and Estimated Effect in Correcting Problem.

8. Applicable Standards. (Cite the specific State, interstate, local, or Federal regulation and specific requirement for which the project is needed.)

9. Project Schedule.

Agency schedule— month and year	Regulation schedule— month and year
Design (completion).....	
Construction (start).....	
Construction (completion).....	
Operation (start).....	
Final compliance.....	

Design (completion).....
Construction (start).....
Construction (completion).....
Operation (start).....
Final compliance.....

10. Other Relevant Information.

11. Funding Schedule.

Figure 10-1

EXHIBIT 1-EM

ENVIRONMENTAL POLLUTION CONTROL

Proposed Management Requirement

Date Prepared: _____
Date Revised: _____
GSA Inventory Control No.: _____

1. Facility.

Name: _____

Address: _____

(city, county, state)

Agency Contact: _____

(name, title, telephone)

2. Resource Identification.

3. Explanation and Justification of Resource Requirement. Identify why resources, personnel and/or funds are needed for the "management" or conduct of the installation environmental program.

4. Proposed Resource Schedule. List by fiscal year for the period of the FYDP, when applicable.

5. Funding. Indicate appropriation account, amounts by fiscal year and whether amount is programmed or unprogrammed.

6. Other Relevant Information.

Figure 10-2

EXHIBIT 1

CIRCULAR NO. A-106

ENVIRONMENTAL POLLUTION CONTROL

Proposed Project Report

Agency: Department of the Army
Media: Air

Project No.: A-078C
Date Prepared: 5/26/73
Date Revised: 2/11/74
GSA Inventory Control No.:

1. Facility.

Name: ABC Army Ammunition Plant.
Address: Kingstown, George County, S.C.
Agency Contact: MJB B. A. Smith Facility Engineer (615) 765-4321.

2. Specific Type of Pollution. NO_x

3. Amount of Pollution. 4,500 #/hr when process is operated at maximum rate.

4. Pollution Source, and Discharge, Emission, or Deposit Point. Nitric Acid Plant No. 13, Bldg. A.

5. Existing Treatment and Other Control Measures. No control measures.

6. Effectiveness of Existing Treatment and Control. 0% Removal efficiency.

7. Remedial Measures Proposed and Estimated Effect in Correcting Problem. Construct packed column control device 94% efficient to achieve full compliance.

8. Applicable Standards. (1) State: State Air Code, Chapter V, 8113.a.(11)

(2) Region:

(3) Actual standard or exact citation: Maximum of 450 #/hr allowed as per the XYZ test method; effective date of emission standard is 1/31/72.

9. Project Schedule.

	Agency schedule— month and year	Regulation schedule— month and year
Design (completion).....	4-74	4-74
Construction (start).....	10-74	9-74
Construction (completion).....	1-75	11-74
Final Operation (start).....	6-75	5-75
Final compliance.....	7-75	9-75

Explanation of difference between items 8 and 9: project advanced to provide margin of safety.

10. Other Relevant Information. Citizens complaints received on 12/15/73. Suits initiated on 12/30/73 by Onaconda Environmental Study Group.

11. Funding.

(In thousands of dollars)

FEMA	Fiscal years				
	1976	1977	1978	1979	1980
Programed.....	\$875	0	0	0	0
Unprogramed.....	0	0	0	0	0

¹ Included as part of plant modernization program.

Figure 10-3

EXHIBIT 1

CIRCULAR NO. A-106

ENVIRONMENTAL POLLUTION CONTROL

Proposed Project Report

Agency: Department of the Army
Media: Water

Project No.: A-999b.
Date Prepared: 2-29-72
Date Revised: 12-26-73
GSA Inventory Control No.: 45878

1. Facility.

Name: Camp Faraway.
Address: Mulch City, Enny County, S.D.
Agency Contact: Col. John Smith, Facilities Engineer (615) 755-0022.

2. Specific Type of Pollution. Domestic sewage, partly treated. Existing treatment plant overloaded. Excess flow bypassed to river. Influent includes small amounts (.01 mgd) of filter backwash from water treatment plant containing precipitates of alum, iron, and manganese.

3. Amount of Pollution. Total flow: 6.2 mgd. Treated: 4.0 mgd.

4. Pollution Source, and Discharge, Emission, or Deposit Point. Secondary treatment plant discharges to Obstacle River, 3 miles below Mulch City water supply intake.

5. Existing Treatment and Other Control Measures. Secondary—high rate trickling filter plant, final sedimentation, and chlorination. Design Capacity—4.0 mgd.

6. Effectiveness of Existing Treatment and Control.

Principal constituent	In parts per million		
	Influent	Treated effluent	Percent removal
BOD ₅	235	36	83
Suspended solids.....	392	60	85
Total phosphorus as P.....	8.98	4.67	48
Total nitrogen as N.....	24.96	21.14	15

7. Remedial Measures Proposed and Estimated Effect in Correcting Problem. Replace existing treatment plant with AWT plant; chemical/activated sludge/multi-media filtration to achieve 95 percent removals or better. Design capacity—7.5 mgd.

8. Applicable Standards. State Standards. SD Code: Water Poll—Chapter 61, 1960 Supp. SD Code: Public Health—Chapter 27, 1960 Supp. Water Quality Standards for Surface Waters: Reg E-1.10A (Rev.).

Federal Regulations. 40 CFR 125, 133, PL 92-500, SS 301, 313, PL 92-500, S 402-NPDES, NPDES Permit Number—SD0012345, Permit Period—1974-1979.

9. Project Schedule.

	Agency schedule— month and year	Regulation schedule— month and year
Design (completion).....	4-75	N/A
Construction (start).....	6-75	5-75
Construction (completion).....	2-77	1-77
Operation (start).....	4-77	N/A
Final compliance.....	6-77	2-77

Regulation schedule as required by NPDES permit. State water quality standard requires adequate secondary treatment by 1/74.

Unable to meet State requirement because of design problems and funding cycle. State has permitted delay on condition NPDES permit deadline is met.

10. Other Relevant Information. Installation may become surplus in FY 75 or FY 76 leading to project discontinuance.

Funding

(In thousands of dollars)

MCA	Fiscal years				
	1976	1977	1978	1979	1980
Programed.....	0	\$5,000	0	0	0
Unprogramed.....	0	0	0	0	0

Figure 10-4

EXHIBIT 1

CIRCULAR NO. A-106

ENVIRONMENTAL POLLUTION CONTROL

Proposed Project Report

Agency: Department of the Army.
Media: Solid Waste.

Project No.: A-001
Date Prepared:
2/11/74
Date Revised:
GSA Inventory
Control No.:

1. Facility.

Name: Camp Faraway.
Address: Mulch City, Enny County, S.D.
Agency Contact: Col. John Smith, Facilities Engineer (615) 755-0022.

2. Specific Type of Pollution. Camp landfill.

3. Amount of Pollution. Leachate of high BOD concentration.

4. Pollution Source, and Discharge, Emission, or Deposit Point. Landfill is used for disposal of installation wastes. Due to frequent rains, wastes build up high moisture content and leachate, which emanates from side of fill. Also, area is noted to be a common breeding ground for flies and mosquitos, and is generally unsightly.

5. Existing Treatment and Other Control Measures. a. Landfill receives 10 tons per day of solid waste altogether, 5 from the Camp and 5 from the nearby Lindberg Air Base. It consists mainly of normal municipal-type wastes delivered on Monday, Wednesday and Friday of each week. Once a week a large load of oily rags is dumped in one corner of the landfill site.

b. Landfill was first opened in Summer of 1970 and is designed to operate until 1990.

c. Some control of run-off waters is exercised by a trench on the downhill side of landfill draining into a settling pond.

6. Effectiveness of Existing Treatment and Control. Trench prevents run-off waters from entering local bay waters, but does not solve vector, or aesthetic problems, nor does it minimize the amount of leachate forming.

7. Remedial Measures Proposed and Estimated Effect in Correcting Problem. Purchase of bulldozer to compact and cover wastes, minimize formation of leachate, control vectors, and improve general appearance. Relocate landfill to area with better drainage.

8. Applicable Standards. EPA Guidelines for Land Disposal of Solid Wastes, published in FEDERAL REGISTER July 1, 1974, requirements under sections 241.204, 241.207, 241.208, 241.209, and 241.210.

9. Project Schedule.

	Agency schedule month and year	Regulation schedule month and year
Design (completion).....	N/A	N/A
Construction (start).....	N/A	N/A
Construction (completion).....	N/A	N/A
Begin procurement action.....	7-75	N/A
Operation (start).....	7-76	N/A
Final compliance.....	7-76	N/A

10. Other Relevant Information. Station planning to build an incinerator in 1980 to extend life of landfill.

11. Funding.

RULES AND REGULATIONS

[In thousands of dollars]

	Fiscal years				
	1976	1977	1978	1979	1980
PEMA:					
Programed.....	0	0	0	0	0
Unprogramed.....	\$30	0	0	0	0
OMA:					
Programed engineering study.....	\$3	0	0	0	0
Unprogramed construction-new landfill.....					\$10

Figure 10-5

EXHIBIT 1

CIRCULAR NO. A-106

ENVIRONMENTAL POLLUTION CONTROL

Proposed Project Report

Agency: Department of the Army.
Media: Radiation.

Project No.: A-001

Date Prepared:

6/14/74

Date Revised:

6/15/74

GSA Inventory

Control No.:

1. Facility.

Name: Camp Faraway, Power Reactor.
Address: Mulch City, Enny County, S.D.
Agency Contact: Col. John Smith, Facilities Engineer (615) 755-0022.

2. Specific Type of Pollution. Corrosion products in form of iron and manganese isotopes in primary water cooling system of reactor.

3. Amount of Pollution. Isotopes of iron and manganese exceed new AEC and Army standards for water coolants.

4. Pollution Source and Discharge, Emission or Deposit Point. Primary coolant water discharged to holding tank and then periodically released to Lake Enny.

5. Existing Treatment and Other Control Measure. Holding tank before release to lake.

6. Effectiveness of Existing Treatment and Control. Only limited decay obtained from retention in holding tank.

7. Remedial Measures Proposed and Estimated Effect in Correcting Problem. Redesign holding tank system to include addition of ion exchanger.

8. Applicable Standards and Regulations. 10 CFR Part 20 and AR 85-80.

9. Project Schedule.

	Agency schedule— month and year	Regulation schedule— month and year
Design (completion).....	2-75	N/A
Construction (start).....	5-75	N/A
Construction (completion).....	7-75	N/A
Operation (start).....	8-75	N/A
Final compliance.....	8-75	N/A

10. Other Relevant Information. None.

11. Funding.

[In thousands of dollars]

	Fiscal years				
	1976	1977	1978	1979	1980
MCA					
Program.....	\$375				

Figure 10-6

EXHIBIT 1

CIRCULAR NO. A-106

ENVIRONMENTAL POLLUTION CONTROL

Proposed Project Report

Agency: Department of the Army

Media: Noise

Project No.: A-001

Date Prepared:

6/1/74

Dated Revised:

GSA Inventory

Control No.:

45678

1. Facility.

Name: Camp Faraway.
Address: Mulch City, Enny County, SD
Agency Contact: Col. John Smith, Facilities Engineer (615) 755-0022.

2. Specific Type of Pollution. Noise is broadband with discernible tones. (Noise is nonimpulsive; it is continuous at a steady in level, but with a discernible tone).

3. Amount of Pollution. The source measures 75 dBA at the property line. Source is 20 feet from boundary line at a height of 15 feet. Facilities or areas affected: Civilian school and housing (off the installation).

4. Pollution Source, and Discharge, Emission, or Deposit Point. One power plant with forced draft fans and cooling tower.

5. Existing Treatment and Other Control Measures. No noise control exists. Acoustic expertise-Acoustics, Inc., Chicago, IL.

6. Effectiveness of Existing Treatment and Control. None.

7. Remedial Measures Proposed and Estimated Effect in Correcting Problems. Installation of commercially available mufflers on all forced draft fans and noise enclosure on cooling tower. It is expected that this action will lower the sound level below the background noise.

8. Applicable Standards. Mulch Noise Ordinance, Section 4-12, Chapter 17 of the Municipal Code of Mulch, requires that the noise level at the boundary line in business and commercial districts not exceed 62 dBA.

9. Project Schedule.

	Agency schedule— month and year	Regulation schedule— month and year
Design (completion).....	9-76	N/A
Construction (start).....	11-74	N/A
Construction (completion).....	2-77	N/A
Operation (start).....	3-77	N/A
Final compliance.....	4-77	N/A

The standards require immediate compliance. Agency schedule provides for earliest possible installation of control measures.

10. Other Relevant Information. (a) Community complaints have included 26 telephone calls, 15 letters, and 3 personal visits. Nature of complaints centered upon annoyance. (Log of noise complaints attached.)

(b) Legal action has not been initiated, but may be by County School Board.

11. Funding.

[In thousands of dollars]

	Fiscal years				
	1976	1977	1978	1979	1980
OMA					
(a) Mufflers on forced draft fans:					
Programed.....	\$25				
Unprogramed.....					
(b) Enclosures on cooling tower:					
Programed.....					
Unprogramed.....	\$10				

Figure 10-7

EXHIBIT 1

CIRCULAR NO. A-106

ENVIRONMENTAL POLLUTION CONTROL

Proposed Project Report

Agency: Department of the Army

Media: Pesticides & Hazardous/Toxic Materials

Project No.: A-002

Date Prepared:

Sept. 15, 1974

Date Revised:.....

GSA Inventory

Control No.:

1. Facility.

Name: Camp Faraway.
Address: Mulch City, Enny County, S.D.
Agency Contact: Col. John Smith, Facilities Engineer (615) 755-0022.

Specific type of pollution. The following pesticides registered for the control of pests: malathion, diazinon, chlorpyrifos, propoxur, lindane, chlordane.

3. Amount of Pollution. Quantities of pesticide concentrate mixed per month: Malathion, 10 gal; diazinon, 10 gal; chlorpyrifos, 7 gal; propoxur, 10 gal; lindane, 2 gal; chlordane, 10 gal.

4. Pollution Source, and Discharge, Emission, or Deposit Point. N/A.

5. Existing Treatment and Other Control Measures. Mixing sink with sump.

6. Effectiveness of Existing Treatment and Control. Sink too small. Inadequate neutralization and sump capacity. Requires manual baling.

7. Remedial Measures Proposed and Estimated Effect in Correcting Problem. Replace small mixing sink with larger double mixing sink. Install a neutralization and holding tank with sump pump for pesticide rinses.

8. Applicable Standards. Executive Order #11643—Environmental Safeguards on Activities for Animal Damage Control on Federal Lands. February 8, 1972. Additionally, the EPA, under statutory authority of Section 4, Federal Insecticide, Fungicide, and Rodenticide Act, as amended by the Federal Environmental Pesticide Control Act.

9. Project Schedule.

	Agency schedule— month and year	Regulation schedule— month and year
Design (completion).....	10-75	N/A
Construction (start).....	1-76	N/A
Construction (completion).....	3-76	N/A
Operation (start).....	4-76	N/A

10. Other Relevant Information. Other stocks of suspended on finally cancelled pesticides will be stored until proper disposal methods are developed. Inventory: 5 percent DDT in oil—350 gallons; 75 percent DDT wettable powder—220 lbs.

11. Funding Schedule.

[In thousands of dollars]

	Fiscal years				
	1976	1977	1978	1979	1980
OMA					
Programed.....	\$3.0	0	0	0	0
Unprogramed.....	0	0	0	0	0

Figure 10-8

EXHIBIT 1-EM
ENVIRONMENTAL POLLUTION CONTROL
Proposed Management Report

Agency: Department of the Army
Date Prepared: 1 Oct 74
Date Revised:
Media: Management GSA Inventory Control No.: 12345

1. Facility.
Name: Fort Stoner.
Address: Podunk, Organ County, SD.
Agency Contact: COL J. J. Jones, Facility Engineer, AV 823-1555.
2. Resource Identification, Training.
3. Explanation and Justification of Resource Requirement. Training is required for sewage treatment plant superintendent, operators and laboratory technician to meet certification standards of South Dakota. A new sewage treatment plant will be put into operation in December 1975 and trained personnel will be required to operate it. Current personnel are not familiar with the operation of the new plant and require instructions on State requirements and standards.

4. Proposed Resource Schedule. Training offered at University of South Dakota. Attendance at one-week courses is as follows:

	Fiscal years				
	1975	1976	1977	1978	1979
Superintendent.....	1				
Operator.....		2	2	1	1
Lab technician.....	1				

5. Funding.

(In thousands of dollars)

OMA	Fiscal year				
	1975	1976	1977	1978	1979
Programed.....	\$0.2	\$0.6			
Unprogramed.....		\$0.4	\$0.2	\$0.2	

6. Other Relevant Information. Outyear requirements reflect training for new hires.

Figure 10-9

EXHIBIT 2

POLLUTION STATUS REPORT
(media)

Appropriation account: (OMA, MCA, etc.)

Agency: Page of
Agency contact: Reporting Date
Telephone:

Project No.	Project name and location (GSA Inventory control No.)	Project costs (\$1,000's)—Amount in President's budget or agency plan or amount appropriated or funded						Present cost estimate	Status
		Fiscal year -2	Fiscal year -1	Current fiscal year	Fiscal year +1	Fiscal year +2	Fiscal year +3		

NOTE.—Provide totals on the last page for each appropriation account.

Figure 10-10

APPENDIX A—PROCEDURES FOR THE PROTECTION OF HISTORIC AND CULTURAL PROPERTIES

FRIDAY, JANUARY 25, 1974
WASHINGTON, D.C.

Volume 39—Number 18

PART II

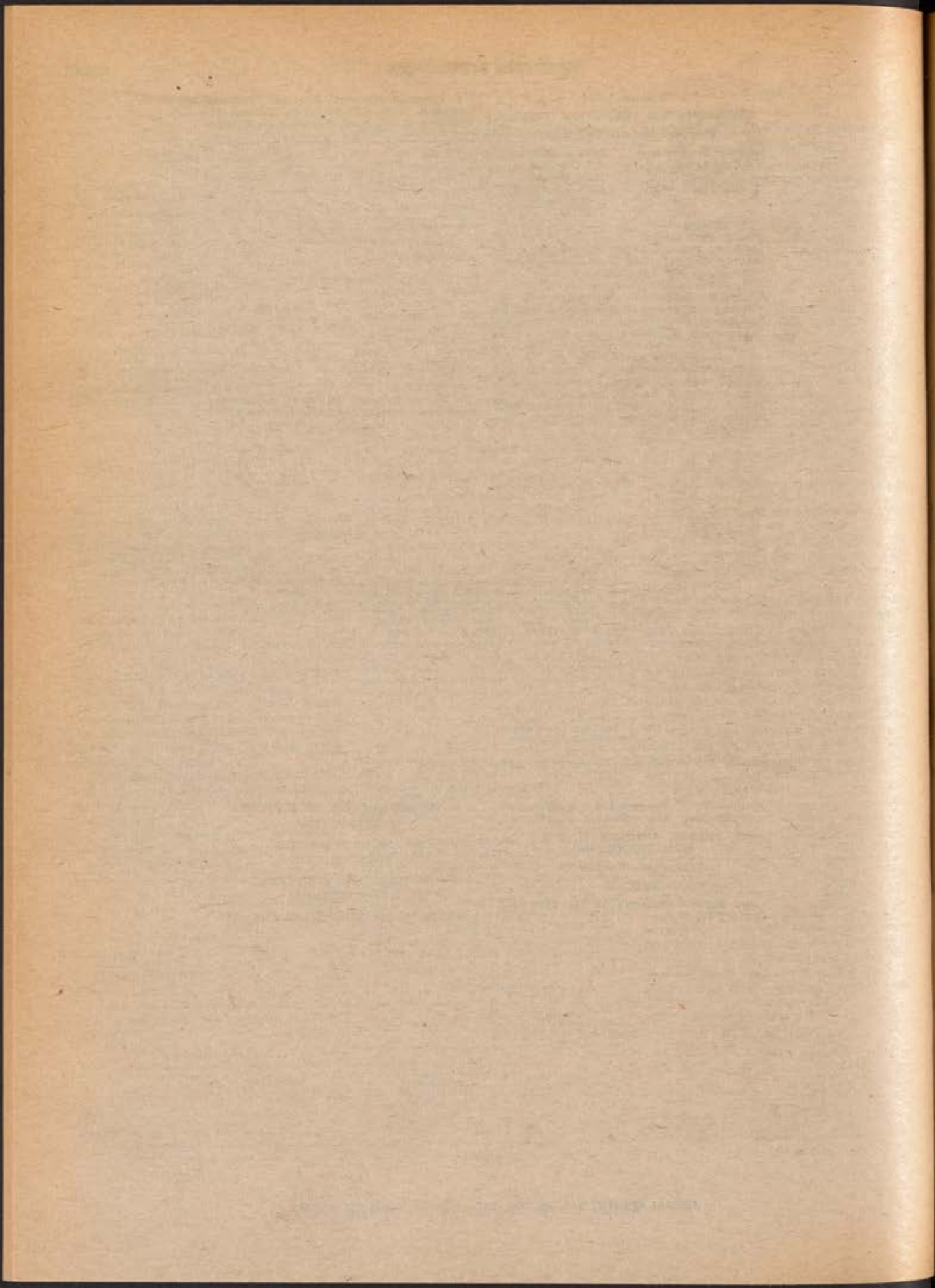
See FEDERAL REGISTER 39 FR 3366-3370, January 25, 1974.

ADVISORY COUNCIL ON HISTORIC PRESERVATION

PROCEDURES FOR THE PROTECTION OF

HISTORIC AND CULTURAL PROPERTIES

[FR Doc.75-32267 Filed 12-1-75; 8:45 am]



TUESDAY, DECEMBER 2, 1975



PART III (Section 1):

DEPARTMENT OF THE TREASURY



PRIVACY ACT OF 1974

Notice of Systems of Records

THURSDAY, DECEMBER 2, 1942



U.S. GOVERNMENT PRINTING OFFICE

1942 O 12-20-42

DEPARTMENT OF
THE TREASURY

PRIVACY ACT OF 1974

Section 11(b)(1) of the Act

Department of the Treasury

Privacy Act of 1974

Notice of Systems of Records

Notice is hereby given that the Department of the Treasury, in accordance with 5 U.S.C. 552a(e)(4) and (11), Sec. 3 of the Privacy Act of 1974 (Pub. L. 93-579) (88 Stat. 1896) ("Act"), adopts the Notice of Systems of Records set forth below.

The Notice of Systems of Records was drafted and the files to be noticed were selected with major reliance on the "Guidelines and Responsibilities" for implementation of the Act published by the Office of Management and Budget in the Federal Register for Wednesday, July 9, 1975 (40 FR 28949).

The notice consists of an alphabetical listing of the systems of records of the Department of the Treasury by bureau or office. The alphabetical list is followed by the notices of systems of records which are required by the Act to be published. In addition, some of the notices for a bureau or office are followed by an Appendix A which sets forth addresses applicable to notices for the corresponding bureau or office. All of the notices for the Department are followed by an Appendix AA which sets forth general routine uses applicable to all noticed systems of records and incorporated by reference into the notice of each particular system of records. Such routine uses are centralized to avoid unnecessary repetition and to assist the public in its review and use of the proposed notice.

The notice does not identify expressly those systems of records existing within the Department with respect to which another Federal agency has assumed responsibility for publishing a general notice applicable to such systems of records. The primary example is the publication of systems of records pertaining to Federal employee personnel records by the United States Civil Service Commission.

Pursuant to 5 U.S.C. 552a(e)(11), the routine uses of each of these named systems of records were set out for public comment in the August 26, 1975 (40 FR 37640), September 9, 1975 (40 FR 41956) or October 31, 1975 (40 FR 50852) issue of the Federal Register. As a result of comments received including those from bureaus and offices of the Treasury, there have been several minor amendments to the notices.

Effective date. This notice shall be effective immediately.

Dated: Nov. 24, 1975.

Richard R. Albrecht,
General Counsel.

Treasury/OS 00.010

System name: Office of Debt Analysis, Actuarial Valuation System—Treasury/OS.

System location: Office of the Secretary of the Treasury, Office of Debt Analysis, Office of the Government Actuary, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Participants and beneficiaries of the following pension plans: District of Columbia: Teachers, Policemen, Firemen, Judges, U.S. Tax Court Judges, U.S. Foreign Service officers and staff personnel, U.S.I.A. Officers and staff personnel.

Categories of records in the system: Information in the system is as follows: Active Records: name; social security number; salary; category-grade; year of entry into system; service computation

date; year of birth; year of resignation or year of death, & refund if any; indication of LWOP status (if any); Retired Records: same as active; annuity; year of separation; cause of separation (optional, disability, deferred, etc.); years and months of service by type of service; single or married; spouse's year of birth; principal's year of death; number and ages of children on annuity roll; year of termination of survivors.

Authority for maintenance of the system: Statutes require the Secretary of the Treasury to certify the valuation of pension funds as follows: D.C. Teachers, 60 Stat. 881; D.C. Judges, 78 Stat. 1061; U.S. Tax Court Judges 26 U.S.C. 7448; U.S. Foreign Service Officers, USIA Officers and staff 22 USC 1101. In addition, the House District Committee formally requested certification of the pension funds for D.C. police and firemen.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Government Actuary performs mathematical computations to assess expected income and outlays of pension funds listed in the "Category of Individual" section. For additional routine uses, see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Data are on punched cards and computer print-outs. Individuals are listed alphabetically. Records are stored in the Actuary's office in the locked and guarded Treasury Building. The records are retained on a year-to-year basis. When agencies whose pension funds are valued forward new records for valuation, older records are discarded.

System manager(s) and address: The Government Actuary, Office of the Secretary of the Treasury, 15th and Pennsylvania Ave., N.W., Washington, D.C. 20220.

Notification procedure: The Government Actuary keeps subject records for statistical purposes only and does not release information on individual records. See System Manager above.

Record access procedures: Inquiries should be directed to the organization whose pension funds are valued. If that organization's address is unknown to the inquirer, the Government Actuary will forward the inquiry to the appropriate organization.

Contesting record procedures: See Notification and Access above.

Record source categories: Data for actuarial valuation are provided by organizations responsible for pension funds listed under "Category of Individual," namely the District of Columbia Government, the U.S. Tax court, the U.S. Foreign Service and the U.S. Information Agency.

Treasury/OS 00.011

System name: Office of Debt Analysis, General Correspondence—Treasury/OS.

System location: Records are stored for the Office of Debt Analysis by the Office of the Secretary, Central Files, Main Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220. A card file with each writer's name, address and subject of inquiry is maintained as a quick reference in the Office of Debt Analysis.

Categories of individuals covered by the system: General public, other executive agencies and the Congress.

Categories of records in the system: Letters from the general public, other executive agencies and the Congress regarding the national debt, the economy and monetary and fiscal policy.

Authority for maintenance of the system: 5 USC 301.

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

with the same writer is reviewed to enable us to provide complete, nonrepetitive replies to current inquiries. For additional routine uses, see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: The actual incoming letter and a carbon of our response are filed alphabetically by the individual's name. Letters are stored in the Treasury's Central Files, in the locked main Treasury Building, for 3 years and then are discarded as common trash.

System manager(s) and address: Director, Office of Debt Analysis.

Notification procedure: Treasury, Director, Office of Debt Analysis, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Record access procedures: Requests should be submitted to the Director, Office of Debt Analysis, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Letters are from the general public, other executive agencies and the Congress. They come directly to the Treasury or are referred to the Treasury by the White House, Congressional offices, or other executive agencies.

Treasury/OS 00.020

System name: Energy Policy Office Administrative File—Treasury/OS.

System location: Room 4464, Treasury Building, 15th & Pennsylvania Avenue, Washington, D.C. 20220.

Categories of individuals covered by the system: Employee (presently in a position in this office). Applicant (one who will be hired).

Categories of records in the system: Employee; regular personnel papers, which are duplicates and this file is not complete. Applicant: S.F. 171.

Authority for maintenance of the system: Federal Personnel Manual, 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Administrative Personnel File; for general reference. Applicant: used in interviews. For additional routine uses, see Appendix AA.

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

Storage: File Cabinet.

Retrievability: Located in Room 4464.

Safeguards: Filed by name. Usual Security.

Retention and disposal: Disposed when no longer needed for reference.

System manager(s) and address: Deputy Assistant Secretary for Energy Policy, Department of the Treasury, Room 4464, MT, Washington, D.C. 20220.

Notification procedure: Same as the above.

Record access procedures: Written request to: Director, Regulatory and Legislative Review, Office of Energy Policy, Room 4460, MT, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Administrative Personnel Folder: routine personnel actions. Applicant: SF 171.

Treasury/OS 00.021

System name: Assistant Secretary, Personnel Administrative Files—Treasury/OS.

System location: Room 2036, Treasury Department, 15th and Pennsylvania Ave., Washington, D.C. 20220.

Categories of individuals covered by the system: Employees, Prospective employees.

Categories of records in the system: Employee: regular personnel papers, which are duplicates. This working file is not complete. Prospective employee: S.F. 171 and related regular personnel forms. This working file is not complete.

Authority for maintenance of the system: Federal Personnel Manual, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Administrative Personnel File, for general reference Prospective employee, for interviews. For additional routine uses, see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: File Cabinet with lock. Located in Room 2036, Filed by name, Usual Security, Disposed when no longer needed for reference.

System manager(s) and address: Mrs. Doris L. Smith, Administrative Officer, Department of Treasury, Room 2036, Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: File Cabinet with lock, located in Room 2036, filed by name, usual security, Disposed when no longer needed.

Treasury/OS 00.030

System name: Bilateral Development Program Office Personnel File—Treasury/OS.

System location: Room 5225 Main Treasury, 15th and Penn. Ave. N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: This file consists of four basic categories. They are (1) AEA Staffing Needs; (2) Applicants—Job; (3) BDPO Personnel; and (4) Overseas Posts with individual files on Bogota, Brazilia, Hong Kong, Mexico City, New Delhi, and Saigon.

Categories of records in the system: These files consist of various personnel papers on individuals in both the Washington office and Overseas posts. These papers consist of 171 forms, evaluations, and promotional and status changes of individuals. The overseas files consist primarily of correspondence between the overseas posts and the home office.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These files are kept by the Director of the Bilateral Development Office and are used primarily by him unless he authorizes otherwise. These files are used only as a means of quick referral, as they are, for the most part duplicates of those kept by OASIA Personnel Office. For additional routine uses, see Appendix AA.

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

Storage: These files are kept in a secure file cabinet.

Retrievability: These files are listed as described above under Category of Individual.

Safeguards: These files are kept in a locked safe.

Retention and disposal: These files are kept only so long as pertinent to office operations.

System manager(s) and address: Director, Bilateral Development Program Office; Room 5221 Main Treasury.

Notification procedure: Bilateral Development Program Office, Office of the Assistant Secretary For International Affairs, Room 5221, 15th and Pennsylvania Ave. N.W., Washington, D.C. 20220, Information required: Proper Identification.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: The majority of all information contained in this system was obtained through the OASIA Personnel Office, or the individuals themselves.

Treasury/OS 00.239

System name: Contractors file—Treasury/OS.

System location: Office of Statistical Reports, OASIA Research, Office of the Secretary, Department of the Treasury, 15th & Pennsylvania Ave., N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Contractors.

Categories of records in the system: Files on contractors.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Record of work performed by OSR by contractors. Reference for preparation of documentation for future contracts. For additional routine uses, see Appendix AA.

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

Storage: File.

Retrievability: Chronological, not indexed.

Safeguards: Regular office procedures.

Retention and disposal: 3-5 years.

System manager(s) and address: Director, Office of Statistical Reports OASIA.

Notification procedure: Privacy Act Representative, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220. Individual should, if possible, submit the following information in order to assist us in determining whether we maintain information on him/her: (1) Full name; (2) Explanation: in what regard OASIA Research may have collected information on the individual; and (3) Specify dates as nearly as possible of any contact with OASIA Research.

Record access procedures: Privacy Act Representative, Office of the Assistant of General Counsel, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Documentation of past contracts for professional services.

Treasury/OS 00.240

System name: Contracts and Research Proposals—Treasury/OS.

System location: OASIA Research, Office of the Secretary, U.S. Department of the Treasury, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: (1) Contractors; and (2) Solicited and unsolicited research proposals by author.

Categories of records in the system: Contains information about technical and administrative aspects of external research contracts or proposals.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Routine administration of contract matters; (2) Evaluation of performance of contracts and utility of research proposals; and (3) If joint contract sponsored with another Federal agency, share information necessary to carry out contract. (4) For additional routine uses, see Appendix AA.

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

Storage: Files.

Retrievability: By name.

Safeguards: Bar lock filing cabinet.

Retention and disposal: Held a maximum of three (3) years.

System manager(s) and address: Privacy Act Coordinator, OASIA Research, Office of the Secretary, U.S. Department of the Treasury, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Privacy Act Representative, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220. Individual should, if possible, submit the following information in order to assist us in determining whether we maintain information on him/her: (1) Full name; (2) Explanation: in what regard OASIA Research may have collected information on the individual; and (3) Specify dates as nearly as possible of any contact with OASIA Research.

Record access procedures: Privacy Act Representative, Office of the Assistant of General Counsel, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: (1) Information submitted by researcher voluntarily or by request; (2) Office notations on the status of contracts; and (3) Evaluations by Treasury personnel of contract work.

Treasury/OS 00.241

System name: Directory file of reporters on Treasury Foreign Exchange and Foreign Currency Forms—Treasury/OS.

System location: Headquarters: Office of Statistical Reports, OASIA. Working data files maintained by Federal Reserve Banks. Central computer file maintained by Federal Reserve Bank of New York. Headquarters: OASIA Research, Office of the Secretary, Department of the Treasury, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Banks, brokers, nonbanking business concerns, nonprofit institutions (may include individuals operating as sole proprietorships or in partnerships), and

names of principal executive officers and officers responsible for the reports.

Categories of records in the system: Offices responsible for reporting Treasury Foreign Exchange reports.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Classifying and sorting TFC and TFC data by type and characteristics of reporters. Identifying principal executive officers and officers responsible for reporting. For additional routine uses Appendix AA.

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

Storage: Files, punched cards, magnetic tape, magnetic disc.

Retrievability: Name of firm, ID number, location, type of business, characteristics.

Safeguards: Procedures and directives to assure confidentiality of reports of individual reporters. Computer access controlled by "pyramid" security system.

Retention and disposal: Indefinitely.

System manager(s) and address: Director, Office of Statistical Reports, OASIA.

Notification procedure: Privacy Act Representative, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220. Individual should, if possible, submit the following information in order to assist us in determining whether we maintain information on him/her: (1) Full name; (2) Explanation: in what regard OASIA Research may have collected information on the individual; and (3) Specify dates as nearly as possible of any contact with OASIA Research.

Record access procedures: Privacy Act Representative, Office of the Assistant of General Counsel, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Reports filed by reporters on TFC and TFC forms.

Treasury/OS 00.038

System name: DC 11/4 Gold Licensees—Treasury/OS.

System location: OASIA Secretariat, Department of the Treasury, Washington, D.C. 20220.

Categories of individuals covered by the system: Every individual or partner who was issued a gold license.

Categories of records in the system: Applications for gold licenses, inspection, investigation, and audit records and correspondence.

Authority for maintenance of the system: Gold Reserve Act of 1934.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Was used in the issuing, renewing, suspending or revocation of a gold license. For additional routine uses, see Appendix AA.

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

Storage: Standard Files—9 inch x 12 inch.

Retrievability: Name.

Safeguards: Only authorized persons allowed to examine files.

Retention and disposal: Request has been made for authority to dispose of all files.

System manager(s) and address: Director, OASIA Secretariat, Department of the Treasury, Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Applications for gold license, field audits and inspections and investigations.

Treasury/OS 00.242

System name: General Correspondence.

System location: OASIA Research, Office of the Secretary, U.S. Department of the Treasury, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: People outside of OASIA Research with whom we have had correspondence.

Categories of records in the system: Copies of correspondence to and from OASIA Research.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Routine in office use for the accomplishment of OASIA research business. (2) For additional routine uses, see Appendix AA.

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

Storage: File.

Retrievability: Name.

Safeguards: Bar lock filing cabinet.

Retention and disposal: Held a maximum of three (3) years.

System manager(s) and address: Privacy Act Coordinator, OASIA Research, Office of the Secretary, U.S. Department of the Treasury, Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: General public.

Treasury/OS 00.031

System name: IFI and USG officials connected with IFI Annual Meetings or project inspection trips—Treasury/OS.

System location: OADB, 5th Floor, Department of Treasury, 15th and Penna. Ave., N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Members of Congress on Committees handling IFI authorizations and appropriations, U.S. EDs and Alt. EDs, IFI management officials of U.S. nationality, and U.S. Embassy and AID officials in posts where annual IFI meetings are held or in countries where IFI projects are inspected.

Categories of records in the system: Name, position (including committees for Senators and Congressmen) and bio data.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For background briefing material for Secretary and other top Treasury Officials in preparation for annual meetings of IFIs or project visits or Congressional testimony. For additional routine uses, see Appendix AA.

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

Storage: Material maintained in 3-ring binder briefing books or manila folders in file cabinet.

Retrievability: Through briefing book or files by institution.

Safeguards: Books and folders are in locked safes.

Retention and disposal: Maximum of 2 years after each meeting or testimony.

System manager(s) and address: OADB staff member responsible for each of the IFIs, Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Director, OADB, OASIA, Department of the Treasury, Washington, D.C. 20220.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: U.S. Congressional Directory and publications of IBRD, IDB, ADB and AFDB and information supplied by the EDs and Alt. EDs directly to Treasury, OASIA.

Treasury/OS 00.032

System name: OASIA Correspondence Files—Treasury/OS.

System location: (1) Department of Treasury, 15th & Penna. Avenue, N.W., Washington, D.C. 20220. (2) Washington National Records Center, 4205 Suitland Road, Washington, D.C. 20409.

Categories of individuals covered by the system: (a) U.S. Foreign Service Officials (b) Officials of Municipalities and State Governments (c) Members of Congress and (d) the General Public.

Categories of records in the system: Incoming request for information concerning international financial, economic, and monetary matters, and reply to same by individuals in the Office of the Assistant Secretary for International Affairs, Department of the Treasury.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Routine Use. Routine

correspondence file is maintained to provide record of response to initial inquiry in the event of future correspondence. (b) Category of Users. Officials of the Department to respond to queries. (c) Purpose. Respond to inquiries. (d) For additional routine uses, see Appendix AA.

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

Storage: Carbon (file) copy attached to incoming letter maintained in File Folders. Identification of individuals maintained on alphabetical 3 x 5 card.

Retrievability: Retrieval controlled by card systems. Card, filed by name, shows folder identification in which correspondence is held.

Safeguards: Maintained in electronically secured area and vaults. Disclosure limited to official personnel of the Department.

Retention and disposal: Correspondence containing no substantive information of permanent value is culled for destruction 3 years after the close of the calendar year in which the records were created. Destruction accomplished by burning. Substantive correspondence retained indefinitely.

System manager(s) and address: Chief, Document Management Branch, Office of Administrative Programs, Department of the Treasury, Washington, D.C. 20220.

Notification procedure: (a) See System Manager above. (b) Identifying Information. Full name and address, under which you had contact with OASIA. Specify dates as nearly as possible and subject matter. Also include any other information you can furnish to help locate files.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: See categories of individuals and related responses from Treasury officials.

Treasury/OS 00.033

System name: OASIA Invitation Lists—Treasury/OS.

System location: OASIA Secretariat, Department of Treasury, 15th and Pennsylvania Ave., N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Members of Congress and Congressional staff, present and former officials of the Executive Branch, The Supreme Court, U.S. executives and staff of the international institutions (IBRD, IMF, IDB) and observers from other international organizations, representatives of the business and financial community, and the Press, who are invited to the Secretary's reception during the annual meetings of the International Monetary Fund and International Bank for Reconstruction and Development.

Categories of records in the system: Name, title, name of government agency, international organization or business affiliation.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Routine Use. Files on previous receptions maintained and used as background for preparation of new lists for the Secretary's reception. (b) Category of Users. Staff of Secretariat. (c) Purpose. To prepare invitations and verify invitees at reception.

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

Storage: Lists maintained in 3 ring binders. Identification of individual maintained on alphabetical 3 x 5 card. Cards filed in card file boxes.

Retrievability: Retrieval controlled by card systems. Card, filed alphabetically by name, shows list identification.

Safeguards: None necessary.

Retention and disposal: 2 years after the end of each reception.

System manager(s) and address: Director, OASIA Secretariat, Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Director, OASIA Secretariat, Department of the Treasury, Washington, D.C. 20220. Identifying Information: Full name, title, name of government agency or international organization.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: U.S. Government telephone directories. Card files and lists of previous receptions. U.S. Government Or-

ganizational Manual. Congressional directories. Lists of special guests, members of Delegations and staff supplied by the IMF-IBRD. Lists of members of the Press supplied by Public Affairs Office of the Treasury.

Treasury/OS 00.034

System name: OASIA Time cards listed on Form 2384—Treasury/OS.

System location: Room 5211, Main Treasury, 15th and Penn. Ave. N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: OASIA: Bilateral Development Staff, local and overseas.

Categories of records in the system: Contains hours worked and leave record.

Authority for maintenance of the system: Payroll preparation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used for payroll and annual and sick leave used. For additional routine uses, see Appendix AA.

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

Storage: Carbon of punch card.

Retrievability: Alphabetically by name.

Safeguards: Kept personally by timekeeper.

Retention and disposal: Kept in office for 1 year then sent to Accounting and Financing for storage.

System manager(s) and address: OASIA: Bilateral Development Program Office, Room 5211, Main Treasury, Washington, D.C. 20220.

Notification procedure: OASIA: Bilateral Development Program Office, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: Information obtained by the hours employee works.

Treasury/OS 00.035

System name: Office of Trade Finance Correspondence Files—Treasury/OS.

System location: (1) Department of Treasury, 15th & Penn. Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: (a) Officials of Municipalities and State Governments. (b) Members of Congress and (c) the General Public.

Categories of records in the system: Incoming request for information concerning international financial, economic, and monetary matters, and reply to same by individuals in the Office of the Assistant Secretary for International Affairs, Department of the Treasury.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Routine Use. Routine correspondence file is maintained to provide record of inquiries for which replies are pending. (b) Category of Users. Officials of the office to respond to queries. (c) Purpose. Respond to inquiries. (d) For additional routine uses, see Appendix AA.

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

Storage: 3 x 5 piece of paper.

Retrievability: Indexed by name.

Safeguards: None required.

Retention and disposal: Retained indefinitely.

System manager(s) and address: Secretary to the Director, Office of Trade Finance, OASIA, U.S. Treasury.

Notification procedure: Director, Office Trade Finance, OASIA, Department of the Treasury, Washington, D.C.

Record access procedures: Same address as above, Notification.

Contesting record procedures: See Notification above.

Record source categories: Letters from the public.

Treasury/OS 00.036

System name: Office of Trade Finance, Home addresses and telephone number File—Treasury/OS.

System location: Department of Treasury, 15th & Penn. Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Employees in OTF, OASIA, U.S. Treasury.

Categories of records in the system: Telephone numbers and home addresses.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Routine Use. To provide record of home telephone numbers and addresses; (b) Category of Users. Professionals of OASIA; (c) Purpose. To contact after normal duty hours for urgent situations. (d) For additional routine uses, see Appendix AA.

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

Storage: 3 x 5 card.

Retrievability: Indexed by name.

Safeguards: None required.

Retention and disposal: Disposed when employee terminates employment in office.

System manager(s) and address: Secretary to the Director, Office of Trade Finance, OASIA, U.S. Treasury.

Notification procedure: Director, Office Trade Finance, OASIA, Department of the Treasury, Washington, D.C. 20220.

Record access procedures: Same address as above.

Contesting record procedures: See above.

Record source categories: Employees in OTF.

Treasury/OS 00.037

System name: OADB Employee and Employee Candidate Files—Treasury/OS.

System location: OADB, 5th Floor, Department of Treasury, 15th & Penna. Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: OADB staff members and the candidates for OADB, including prospective candidates for ED or Alt. ED positions at the IFIs.

Categories of records in the system: Bio data and curriculum vitae.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For use by OADB Director in making recommendations for promotions and other job classification changes and in interviewing job candidates. For additional routine uses, see Appendix AA.

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

Storage: Manila folders in file cabinet.

Retrievability: By name.

Safeguards: Maintained in locked file cabinet. Disclosure limited to official personnel on need to know basis.

Retention and disposal: Records on OADB employees kept while employee is in office. Job candidates for one year.

System manager(s) and address: Director, OADB, OASIA, Department of the Treasury, Washington, D.C. 20220.

Notification procedure: (a) Address. OASIA Personnel Office, Room 5315 Main Treasury, 15th & Penna. Ave., N.W., Washington, D.C. 20220. (b) Identifying Information. Full name and address, under which you had contact with OASIA. Specify dates as nearly as possible.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: Supplied by the persons themselves.

Treasury/OS 00.243

System name: Personnel. Personnel; Recruitment. Personnel; Evaluations—Treasury/OS.

System location: Office of Statistical Reports, OASIA Research, Office of the Secretary, Department of the Treasury, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220

Categories of individuals covered by the system: Employees, Past Employees, Employee prospects.

Categories of records in the system: Files on personnel.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Personnel recruitment and management. For additional routine uses, see Appendix AA.

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

Storage: Notes in file folders.

Retrievability: Name.

Safeguards: Safe.

Retention and disposal: Until no longer useful.

System manager(s) and address: Director, Office of Statistical Reports, Deputy Director, Office of Statistical Reports, OASIA.

Notification procedure: Privacy Act Representative, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220. Individual should, if possible, submit the following information in order to assist us in determining whether we maintain information on him/her: (1) Full name; (2) Explanation: in what regard OASIA Research may have collected information on the individual; and (3) Specify dates as nearly as possible of any contact with OASIA Research.

Record access procedures: Privacy Act Representative, Office of the Assistant of General Counsel, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Individuals, personnel actions, etc. Evaluations.

Treasury/OS 00.244

System name: Personnel Files—Treasury/OS.

System location: OASIA Research, Office of the Secretary, Department of the Treasury, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: OASIA Research personnel and job applicants.

Categories of records in the system: Records on personnel and job applicants.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Evaluate job applicants; (2) Routine administrative use of records on OASIA Research personnel; and (3) At the request of the individual, to provide potential employees with information on past work experience. (4) For additional routine uses, see Appendix AA.

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

Storage: Files.

Retrievability: By name.

Safeguards: Bar lock filing cabinet.

Retention and disposal: Held a maximum of three (3) years.

System manager(s) and address: Deputy Assistant Secretary for Research, OASIA Research, U.S. Department of the Treasury, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Privacy Act Representative, U.S. Department of the Treasury, 15th and Constitution Avenue, N.W., Washington, D.C. 20220. Individual should, if possible, submit the following information in order to assist us in determining whether we maintain information on him/her: (1) Full name; (2) Explanation: in what regard OASIA Research may have collected information on the individual; and (3) Specify dates as nearly as possible of any contact with OASIA Research.

Record access procedures: Privacy Act Representative, Office of the Assistant of General Counsel, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: (1) Employment applications; (2) Description of current work in office; (3) Personnel Office of OASIA; (4) Supervisor's observations; and (5) Information submitted by individuals for their own file.

Treasury/OS 00.245

System name: Public correspondence—Treasury/OS.

System location: Office of Statistical Reports, OASIA Research, Office of the Secretary, U.S. Department of the Treasury, 15th & Pennsylvania Ave., N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Individuals who have requested data or other information.

Categories of records in the system: Files on public correspondence.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: File record of public and Government inquiries and replies. For additional routine uses, see Appendix AA.

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

Storage: File.

Retrievability: One file named for respondent. Others are chronological files of "release data," "request for information," etc.

Safeguards: Locked bar safe.

Retention and disposal: As long as needed.

System manager(s) and address: Director, Office of Statistical Reports, OASIA.

Notification procedure: Privacy Act Representative, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220. Individual should, if possible, submit the following information in order to assist us in determining whether we maintain information on him/her: (1) Full name; (2) Explanation: in what regard OASIA Research may have collected information on the individual; and (3) Specify dates as nearly as possible of any contact with OASIA Research.

Record access procedures: Privacy Act Representative, Office of the Assistant of General Counsel, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Inquiries and requests for data from members of the public, members of Congress, members of other Government agencies and the Federal Reserve System.

Treasury/OS 00.246

System name: Treasury Foreign Currency (TFC) Reporters—Treasury/OS.

System location: Working data files maintained by Federal Reserve Banks. Central computer file maintained by: Federal Reserve Bank of New York. Headquarters: OASIA Research, Office of the Secretary, Department of the Treasury, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Banks and non-banking business concerns and nonprofit institutions. (May include individuals operating as sole proprietorships or as partnerships.)

Categories of records in the system: Data on foreign exchange operations.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Compilation of aggregate figures for analysis of foreign exchange market developments and for publication. Compilation of data reported by particular groups of reporters or pertaining to particular countries, or types of assets, liabilities or transactions, for internal analysis of particular problems. Occasional compilation of data reported by individual reporters for internal analysis of adequacy of reporting. Statistical analysis of data file. Individual reports may be used by Federal Reserve System for surveillance of foreign exchange markets, bank examination, and monetary policy, and by Comptroller of Currency and FDIC for bank examination. For additional routine uses, see Appendix AA.

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

Storage: Files, punch cards, magnetic tape, magnetic disc.

Retrievability: Lists of reporters and prospective reporters. Name, ID number, location, type of report.

Safeguards: Procedures and directives to assure confidentiality of reports of individual reporters. Computer access controlled by "pyramid" security system.

Retention and disposal: Indefinitely.

System manager(s) and address: Director, Office of Statistical Reports, OASIA.

Notification procedure: Privacy Act Representative, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220. Individual should, if possible, submit the following information in order to assist us in determining whether

we maintain information on him/her: (1) Full name; (2) Explanation in what regard OASIA Research may have collected information on the individual; and (3) Specify dates as nearly as possible of any contact with OASIA Research.

Record access procedures: Privacy Act Representative, Office of the Assistant General Counsel, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Reports filed on Treasury Foreign Currency Forms. Oral and written communications with reporters and their agents, directly or through Federal Reserve Banks.

Treasury/OS 00.247

System name: Treasury Foreign Exchange (TFEX) Reports—Treasury/OS.

System location: Working data files maintained by Federal Reserve Banks. Central computer file maintained by Federal Reserve Bank of New York. Headquarters: OASIA Research, Office of the Secretary, Department of the Treasury, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Banks, brokers, nonbanking business concerns, nonprofit institutions (may include individual operating as sole proprietorships or in partnerships).

Categories of records in the system: Data on international financial transactions.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Compilation of aggregate statistics on capital movements for balance of payments and international monetary and financial policy and for publication.

Compilation of data reported by particular groups of reporters or pertaining to particular countries, or types of assets, liabilities or transactions, for internal analysis of particular problems.

Occasional compilation of data reported by individual reporters for internal analysis of adequacy of reporting.

Statistical analysis of data file.

Names of reporters furnished periodically to Board of Governors, Federal Reserve System, for their use in connection with the Information System for Banking Agency Reports (ISBAR).

For additional routine uses, see Appendix AA.

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

Storage: Files, punch cards, magnetic tape, magnetic disc. Lists of reporters and prospective reporters.

Retrievability: Name, ID number, location, type of report.

Safeguards: Procedures and directives to assure confidentiality of reports of individual reporters. Computer access controlled by "pyramid" security system.

Retention and disposal: Indefinitely.

System manager(s) and address: Director, Office of Statistical Reports, OASIA.

Notification procedure: Privacy Act Representative, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220. Individual should, if possible, submit the following information in order to assist us in determining whether we maintain information on him/her: (1) Full name; (2) Explanation in what regard OASIA Research may have collected information on the individual; and (3) Specify dates as nearly as possible of any contact with OASIA Research.

Record access procedures: Privacy Act Representative, Office of the Assistant General Counsel, U.S. Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Reports filed on Treasury Foreign Exchange Forms. Oral and written communications with reporters and their agents, directly or through Federal Reserve Banks.

Treasury/OS 00.500

System name: Affirmative Action Plan; Employment of Handicapped Individuals—Treasury/OS.

System location: Room 1325, Main Treasury Building, Office of the Secretary, Personnel Division, Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: All government employees within the Office of the Secretary.

Categories of records in the system: Computer printout alphabetically identifying Office of the Secretary employees with their respective bureau, birthdate, social security number, and their reported physical handicap code.

Authority for maintenance of the system: Public Law 93-112.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information is used solely to compute the total number of handicapped employees on the bureau rolls as of a specific date. The bulk statistics are then reported to the Civil Service Commission pursuant to its authority granted under the Rehabilitation Act of 1973 (P.L. 93-112) and guided by FPM Letter No. 306-5. For additional routine uses see Appendix AA.

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

Storage: The information is kept in a file cabinet and is available to authorized personnel only. During non-working hours, both the cabinet and the office in which the file is located are locked.

Retrievability: Each individual is retrieved alphabetically.

Safeguards: As indicated above under Storage, during official business hours, the file is available to authorized personnel only, and at the close of business the office and the file cabinet in which the record is stored is locked.

Retention and disposal: The record is maintained for one week in order to gather the statistics for the Handicapped Employees report intended for the Civil Service Commission. It is then placed in a "Classified Waste" bag to be burned.

System manager(s) and address: Chief, Special Programs Branch, Room 1325, Main Treasury Building, Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Same as System Manager above.

Record access procedures: Same as System Manager above.

Contesting record procedures: Same as System Manager above.

Record source categories: The record is supplied by the IRS Data Center in Detroit, Michigan.

Treasury/OS 00.040

System name: Confidential Statements of Employment and Financial Interests, Personnel Division, Office of the Secretary—Treasury/OS.

System location: Room 1306, Main Treasury Building, Personnel Division, Security Branch, Office of the Secretary, Department of the Treasury.

Categories of individuals covered by the system: Statements are required from all Treasury employees under the categories listed under Section 0.735-70, Department of the Treasury Minimum Standards of Conduct as reprinted from the Federal Registers, December 16, 1970, and amendments dated April 9, 1971, and January 8, 1973.

Categories of records in the system: Forms TD 3086 and 3087 (Confidential Statement of Employment (1)) and Form TD 3086 (Statement of Employment and Financial Interests)—For Special Government Employees) and Form TD 3087 (Confidential Statement of Employment and Financial Interests) prepared by the incumbent or potential incumbent as prescribed.

Authority for maintenance of the system: In conformance with Sections 201 through 209 of Title 18 of the United States Code, Executive Order No. 11222 of May 8, 1965, OS:PD and Title 5, Chapter 1, Part 735, of the Code of Federal Regulations as published in the Department of the Treasury Minimum Standards of Conduct reprinted from the Federal Registers dated December 16, 1970, and amendments dated April 9, 1971, and January 8, 1973.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Statements are prepared by employees or applicants and are submitted through the Personnel Office to the agency reviewing officer. If there are no indications that a conflict of interest condition exists, the reviewing official signs and dates the form and returns it to the Personnel Office for retention. For additional routine uses, see Appendix AA.

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

Storage: To meet the requirements of confidentiality set forth in Subchapter 4-10, Part 735, Federal Personnel Manual, each Statement of Employment and Financial Interests is filed alphabetically in three-ring binders which in turn are filed in metal containers

designed for the storage of classified information and secured by government-approved three-position, combination locks.

Retrievability: Since these statements are filed alphabetically in three-ring binders, they are retrieved accordingly.

Safeguards: In addition to being stored in a secure, metal container with government-approved, combination locks, the metal container is situated in a room which, during normal work hours, is under the supervision of authorized employees, and during non-work hours is locked. The files are in the custody of security specialists for secure storage and access is made only to personnel and administrative officials in the performance of their official functions or to the incumbents who executed the statements.

Retention and disposal: Statements of active employees are retained during incumbent employment tenure and subject to annual up-date as required by law. Records of personnel who depart are retired and maintained for two years, then destroyed as required by Item 26, Appendix B, General Records Schedule, Title 3.

System manager(s) and address: Personnel Officer, Personnel Division, Office of the Deputy Assistant Secretary (Administration), Office of the Secretary, Department of the Treasury, Room 1330, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Chief, Security Branch, Personnel Division, Office of the Deputy Assistant Secretary (Administration), Office of the Secretary, Department of the Treasury, Room 1306, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Record access procedures: Chief, Security Branch, Personnel Division, Office of the Deputy Assistant Secretary (Administration), Office of the Secretary, Department of the Treasury, Room 1306, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220. Access on request of contributor.

Contesting record procedures: See Access above.

Record source categories: The information contained in these records is provided by the employee or applicant pursuant to the authority reflected above.

Treasury/OS 00.051

System name: Disabled Veterans Statistical Report—Treasury/OS.

System location: Room 1325, Main Treasury Building, Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: All government employees within the Office of the Secretary claiming either a five or ten point veteran preference.

Categories of records in the system: The record is a computer printout that categorizes all Office of the Secretary employees claiming a veteran preference by their veteran preference code number. Inside each numerical category, the employees are listed alphabetically along with their employing bureau, office, physical handicap code, pay plan, and social security number.

Authority for maintenance of the system: Public Law 93-508.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The record is used solely to gather statistics on the total number of Office of the Secretary employees claiming either 10 point compensable, 10 point noncompensable, or 5 point veteran preference codes, in addition to the number of them that have reportable handicaps. This data is then used to prepare the Treasury Department's report required by the Civil Service Commission pursuant to its authority under the Vietnam Era Veterans Readjustment Assistance Act of 1974 (P.L. 93-508) and in accordance with the guidelines contained in FPM Letter No. 306-8. For additional routine uses, see Treasury Appendix AA.

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

Storage: The information is kept in a file cabinet and is available to authorized personnel only. During non-working hours, both the cabinet and the office in which the file is located are locked.

Retrievability: Each individual is retrieved by the veteran preference code number and then alphabetically within the code.

Safeguards: As indicated above under Storage, during official business hours the file is available to authorized personnel only, and at the close of business the office and the file cabinet in which the record is stored is locked.

Retention and disposal: The record is maintained for one week in order to gather the statistics for the Disabled Veterans report and then it is placed in a "Classified Waste" bag to be burned.

System manager(s) and address: Chief, Special Programs Branch, Room 1325, Main Treasury Building, Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: The record is supplied by the IRS Data Center in Detroit, Michigan.

Treasury/OS 00.055

System name: EEO Counselor Complaint Files—Treasury/OS.

System location: U.S. Treasury Department, Office of the Secretary, 1500 Pennsylvania Avenue, N.W., Room 4313, 2438.

Categories of individuals covered by the system: Individuals alleging discrimination related to employment with the Office of the Secretary and who have been assigned to a counselor for informal counseling.

Categories of records in the system: The files contain the names of the complainants and information relative to their complaints. This may include: efforts made to settle the complaint; the settlement agreement; notification of extension of the counseling period; notification of final counseling session; and the counselor's report, if required.

Authority for maintenance of the system: Treasury Personnel Manual Chapter 713.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by the counselors to maintain a record of cases and to prepare the counselor's report.

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

Storage: File cabinet.

Retrievability: Indexed by name.

Safeguards: Files are under supervision of each counselor and not released to unauthorized personnel.

Retention and disposal: Indefinite.

System manager(s) and address: Equal Employment Opportunity Officer, Office of the Secretary, U.S. Treasury, Main Treasury, Room 4406, Washington, D.C. 20220.

Notification procedure: Same as above. Include name and approximate date of counseling.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Information is developed from counseling sessions with persons alleging discrimination.

Treasury/OS 00.041

System name: Management Analysis Division (MAD) Personnel Working Files—Treasury/OMO.

System location: Office of Management and Organization, Management Analysis Division, Room 4418 MT, Washington, D.C. 20220.

Categories of individuals covered by the system: All prospective and current employees in MAD.

Categories of records in the system: Standard Forms: 52 (Personnel Action), 171 (Employment Application), 1012 (Travel Voucher), 1038 (Travel Advance), Office of the Secretary Forms: 3015 (Travel Authorization), 3016 (Training Authorization), Personal Data Summary Sheet, Summary of Employee Training, Letters of Appreciation, Position Descriptions.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records used by the Chief, MAD, for planning and managing staff development; by his secretary; and by individual employees, as reference files to obtain information stated under CATEGORY OF RECORD. For additional routine uses, see Appendix AA.

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

Storage: File folders.

Retrievability: Alphabetical order by employee's last name.

Safeguards: All material is unclassified, kept in a secured file cabinet.

Retention and disposal: Records are maintained as long as person is employed in MAD. Upon resignation, records are given to employee or discarded. Prospective employee files are held for twelve months then discarded.

System manager(s) and address: Chief, Management Analysis Division, Department of the Treasury, Room 4418 MT, Washington, D.C. 20220.

Notification procedure: Same as System Manager above.

Record access procedures: Employees have free access to their individual files. Inquiries should be written addressed to the System Manager.

Contesting record procedures: See System Manager above.

Record source categories: Copies of official forms; data prepared by each individual employee; and material from any official who deems it appropriate to submit a letter of appreciation for services rendered by employee.

Treasury/OS 00.042

System name: OMO Management Consultants File—Treasury/OS.

System location: Management Analysis Division, Room 4418 MT, Washington, D.C. 20220.

Categories of individuals covered by the system: Individual Consultant's or Management Consultant firms' brochures identifying individual firm officials.

Categories of records in the system: Published brochures of Management Consultant firms and resumes prepared by individual Consultants.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: When the Department is considering letting a contract for a Management Consultant, the file is used as a reference for submission of Request For Proposal. For additional routine uses see Appendix AA.

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

Storage: File folder.

Retrievability: Alphabetical order by Management Consultant firm or individual Consultant name.

Safeguards: All material is unclassified. Kept in a file cabinet.

Retention and disposal: Retained indefinitely.

System manager(s) and address: Chief, Management Analysis Division, Department of the Treasury, Room 4418 MT, Washington, D.C. 20220.

Notification procedure: Same as System Manager above.

Record access procedures: By request to System Manager.

Contesting record procedures: Same as Access above.

Record source categories: Information is submitted unsolicited by the individual Consultants or Management Consultant firms.

Treasury/OS 00.043

System name: Payroll, Time and Attendance Records—Treasury/OS.

System location: Treasury Department, Office of the Secretary, Financial Management Division, Room 634, 1900 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: All employees whose salary is paid from funds appropriated for the Office of the Secretary, the Exchange Stabilization Fund and the Working Capital Fund.

Categories of records in the system: Carbon copies of original punch card type record of time in pay status, annual/sick leave accrued/taken by individual by calendar year. Original cards are maintained by IRS Data Center where payment is initiated.

Authority for maintenance of the system: Budget and Accounting Procedures Act of 1950, as amended, 31 U.S.C. 66a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Copies of official records, used by payroll staff as ready reference to verify employment and leave information. For additional routine uses, see Appendix AA.

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

Storage: Punch type cards.

Retrievability: By name.

Safeguards: Handled routinely in index files.

Retention and disposal: Retained for five years then burned or shredded.

System manager(s) and address: Chief, Financial Management Division, Room 634, 1900 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Chief, Financial Management Division, Room 634, 1900 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Record access procedures: Chief, Financial Management Division, Room 634, 1900 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Information compiled by Time and Attendance Clerks in applicable offices.

Treasury/OS 00.044

System name: Personnel and Payroll Data: Transaction Lists; Employee Service Record Report; Leave Without Pay Report; Employee Information List; Comprehensive Payroll Listing; and Alphabetical Locator List.—Treasury/OS.

System location: Room 1330, Main Treasury Building, Washington, D.C. 20220.

Categories of individuals covered by the system: Office of the Secretary employees.

Categories of records in the system: The types of information in the system are names, position titles, grades and salary.

Authority for maintenance of the system: IRS Computer system generates reports. 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reports are used to answer inquiries made by employees and to verify whether information submitted by this office has been updated by the IRS Data Center. For additional routine uses, see Appendix AA.

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

Storage: Locked room. File cabinets.

Retrievability: By name and social security number.

Safeguards: Locked cabinets.

Retention and disposal: Most reports are retained for at least 1 year after which they are destroyed.

System manager(s) and address: Personnel Officer, Room 1330, Main Treasury Building, Washington, D.C. 20220.

Notification procedure: Room 1330, Main Treasury Building. Employee should give name, office title and social security number.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: SF-50 and Time and Attendance cards.

Treasury/OS 00.045

System name: Personnel Security Files—Treasury/OS

System location: Room 1306, Main Treasury Building, Personnel Division, Security Branch, Office of the Secretary, Department of the Treasury.

Categories of individuals covered by the system: Government employees or applicants occupying or applying for Sensitive positions in the Office of the Secretary of the Treasury as defined in EO 10450 and FPM 736 and Chapter 736, Treasury Personnel Manual. Also, contract employees who require access to classified information as defined in EO 11652.

Categories of records in the system: Full field or limited background investigations, and FBI Name Checks.

Authority for maintenance of the system: Sections 2 and 3, EO 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Consistent with the provisions of Sections 5 and 6, EO 10450, when unfavorable or questionable information is developed on an employee or applicant which could conceivably have a deleterious affect on the position filled or to be filled or adversely affect the granting of a security clearance, such information is made available to the appropriate employing officials limited only to those transcendent authorities who are in a position to make final determinations on hiring, continued employment or access to classified information. In addition,

files are periodically made available to official investigative or security personnel from other U.S. Government agencies, upon request, when an employee or former employee is being considered for employment by another U.S. Government agency for a Sensitive position as defined in EO 10450. For additional routine uses, see Appendix AA.

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

Storage: Each security file is inserted into an individual file folder which is filed in metal containers designed for the storage of classified information and secured by government approved three-position, combination locks.

Retrievability: Each security file folder is identified by the name of the person to whom it applies and these are filed in alphabetical order.

Safeguards: In addition to being stored in secure metal containers with government approved, combination locks, the metal containers are located in locked rooms, the keys of which are controlled and issued to the custodians of the files. The security specialists and administrative personnel who maintain the files are selected for their experience and afforded access only after having been cleared by a full-field background investigation and granted appropriate security clearances consistent with the provisions of EO 10450 for critical-sensitive positions. Those departmental officials who may occasionally be granted access consistent with their positions to employ and concur in the granting of security clearances have also been investigated prior to filling critical-sensitive positions as required by EO 10450.

Retention and disposal: Active security files are retained during incumbent employment tenure, and subject to up-date investigation as required by EO 10450. Files of employees who affect intra-agency transfers (to other Department of the Treasury Bureaus) are automatically transferred to the gaining Bureaus. If an employee leaves the government or is transferred to another governmental department, the file is retained, but separated from the active files, for a period of five years, except for background investigations completed by the Civil Service Commission which are returned to that agency immediately following the employee's departure from the Department.

System manager(s) and address: Assistant Director of Personnel (Personnel Security), Room 632, Office of the Secretary, Department of the Treasury, Thomas Edison Building, 1900 Pennsylvania Avenue, Northwest, Washington, D.C.

Systems exempted from certain provisions of the act: System exempted elsewhere in register.

Treasury/OS 00.046

System name: Planning and Evaluation Division Employee Locator Card Copy and Information Sheet File—Treasury/OS.

System location: Office of Management and Organization, Planning and Evaluation Division, Room 2453, Main Treasury, Washington, D.C. 20220.

Categories of individuals covered by the system: Every employee of Division during period of employment.

Categories of records in the system: Locator card data: office room number and phone extension, home address, and phone number, emergency notification data. Employee information sheet: social security number, service computation date, veterans preference, promotion data.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference for Division management; home address, home phone number, and emergency notification references. For additional routine uses, see Appendix AA.

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

Storage: Three ring binder.

Retrievability: By name.

Safeguards: Secured files.

Retention and disposal: Period of employment. Shredding or burning.

System manager(s) and address: Chief, Planning and Evaluation Division, Room 2453, Main Treasury, Washington, D.C. 20220.

Notification procedure: Same as System Manager.

Record access procedures: Request addressed to System Manager.

Contesting record procedures: See Access above.

Record source categories: Original of locator card; data filled in by employees.

Treasury/OS 00.047

System name: Planning and Evaluation Division Employee Personnel File—Treasury/OS.

System location: Office of Management and Organization, Planning and Evaluation Division, Room 2453, Main Treasury, Washington, D.C. 20220.

Categories of individuals covered by the system: Every employee of Division for up to two years after employee has left the Division.

Categories of records in the system: Position Description, Personnel Actions, Record of Leave Data, and other information pertaining to the employee's employment history. Supervisor's performance evaluation forms and self-assessment.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference for Division management; responding to requests for employee related information (employment reference checks, etc.). For additional routine uses, see Appendix AA.

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

Storage: File folders.

Retrievability: By name.

Safeguards: Disclosure only from Division Chief. Secured files.

Retention and disposal: Period of employment, plus two years. Shredding or burning.

System manager(s) and address: Chief, Planning and Evaluation Division, Room 2453, Main Treasury, Washington, D.C. 20220.

Notification procedure: Same as System Manager.

Record access procedures: Request addressed to System Manager.

Contesting record procedures: Same as Access above.

Record source categories: Copies of any official correspondence or document concerning the individual which comes to or originate in the Division.

Treasury/OS 00.502

System name: Reference Letters—Special Assignments Branch, Office of the Secretary of the Treasury.

System location: Room 1312, Main Treasury Building, Personnel Division, Special Assignments Branch, Office of the Secretary, Department of the Treasury, Room 1330, Diebold File, after candidate is on board.

Categories of individuals covered by the system: Secretarial candidates applying for positions within the Office of the Secretary.

Categories of records in the system: Evaluation for placement of applicants.

Authority for maintenance of the system: Federal Personnel Manual Chapter 335.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used in conjunction with other records to determine the relative qualifications of applicants for employment. For additional routine uses, see Treasury Appendix AA.

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

Storage: Completed letters are retained with SF-171 while an applicant.

Retrievability: After employment, letters are retrieved from SF-171 or OPF.

Safeguards: Letters are filed in an envelope marked "Confidential" in OPF.

Retention and disposal: Letters are retained in the OPF during tenure of employee and destroyed when incumbent terminates employment with the Department of the Treasury.

System manager(s) and address: Personnel Staffing Specialist, Personnel Division, Room 1312, Assistant Secretary of the Treasury (Administration), Office of the Secretary, Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Same as above.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: The information reflected on the reference form was obtained from previous supervisors and personal references candidate fills in on employment application forms.

Treasury/OS 00.503

System name: Roster of Office of the Secretary Employees—Treasury/OS.

System location: Room 1330, Main Treasury Building.

Categories of individuals covered by the system: All Office of the Secretary employees.

Categories of records in the system: Position titles, grades and salary for Office of Secretary employees.

Authority for maintenance of the system: Assistant Secretary (Administration) request.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Position control, ceiling control and general information for a very limited number of high level officials. For additional routine uses, see Treasury Appendix AA.

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

Storage: Locked file cabinet.

Retrievability: By name.

Safeguards: Strict control of distribution.

Retention and disposal: Rosters are maintained for at least 3 years and after that time are destroyed.

System manager(s) and address: Personnel Officer.

Notification procedure: Room 1330, Main Treasury Building. Employee must give his name and office.

Record access procedures: Personnel Officer.

Contesting record procedures: Personnel Officer.

Record source categories: Standard Form 50.

Treasury/OS 00.048

System name: Scheduled Annual Leave Records—Treasury/OS.

System location: Treasury Department, Office of the Secretary, Financial Management Division, Room 634, 1900 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: All employees whose salary is paid from funds appropriated for the Office of the Secretary, the Exchange Stabilization Fund and the Working Capital Fund.

Categories of records in the system: Dates of scheduled annual leave for the calendar year TR-Form 4067 and Request for Restoration of Annual Leave TR-Form 4068.

Authority for maintenance of the system: Public Law 93-181.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The records are used as a basis for determinations on granting requests for restoration or forfeited annual leave. For additional routine use, see Appendix AA.

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

Storage: Original documents in a file cabinet.

Retrievability: By name of individual.

Safeguards: Non-sensitive material; handled routinely in file cabinet.

Retention and disposal: Maintained until file updated.

System manager(s) and address: Chief, Financial Management Division, Room 634, 1900 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Chief, Financial Management Division, Room 634 1900 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Record access procedures: Chief, Financial Management Division, Room 634, 1900 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: The individual scheduled for annual leave.

Treasury/OS 00.049

System name: Security Clearance Index Card File, Security Branch, Office of the Secretary of the Treasury—Treasury/OS.

System location: Room 1306, Main Treasury Building, Personnel Division, Security Branch, Office of the Secretary, Department of the Treasury.

Categories of individuals covered by the system: Government employees occupying positions within the Office of the Secretary, including Consultants, occupying Sensitive positions and on whom security investigations have been completed pursuant to EO 10450 and who have been granted security clearances for access to classified information as defined in EO 11652.

Categories of records in the system: TD Form 4027 (Notice of Security Clearance) reflecting identification data on incumbent and record and type of EO 10450 investigation and degree and date of security clearance.

Authority for maintenance of the system: Local implementation to facilitate responses for inquiries on security clearances from within Treasury and from other federal agencies on Treasury employees who may transfer or who may attend classified conferences or meetings.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: When inquiries are received from offices within Treasury or other federal agencies as to the clearance status of Treasury employees who may have an official need to attend classified conferences or meetings or have access to classified documents, the availability of this index system facilitates a response. For additional routine uses, see Appendix AA.

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

Storage: The alphabetized indices are filed in a metal, 3 x 5 card file cabinet available to authorized security and administrative specialists on duty in the Security Branch during normal working hours. During non-working periods, the office in which the file is located is locked, with keys issued only to those who are normally employed in the office and an emergency key in the custody of the Officer in Charge of the Treasury Security Force.

Retrievability: Since each card is filed alphabetically by the last name of the individuals concerned, they are retrieved accordingly.

Safeguards: As indicated under "Storage" above, the metal card file is located in an office which is under direct supervision of an authorized employee of the Security Branch during normal working hours, and in a locked office during non-working hours.

Retention and disposal: The active indices are maintained on current employees and when an employee departs the Office of the Secretary for employment elsewhere, the card is transferred to an inactive index where it is maintained indefinitely.

System manager(s) and address: Chief, Security Branch, Personnel Division, Room 1306, Assistant Secretary of the Treasury (Administration), Office of the Secretary, Department of the Treasury, 15th and Pennsylvania Avenue, Northwest, Washington, D.C. 20220.

Notification procedure: Chief, Security Branch, Personnel Division, Room 1306, Assistant Secretary of the Treasury (Administration), Office of the Secretary, Department of the Treasury, 15th and Pennsylvania Avenue, Northwest, Washington, D.C. 20220.

Record access procedures: Chief, Security Branch, Personnel Division, Room 1306, Assistant Secretary of the Treasury (Administration), Office of the Secretary, Department of the Treasury, 15th and Pennsylvania Avenue, Northwest, Washington, D.C. 20220.

Contesting record procedures: Access on request as appropriate.

Record source categories: The information reflected on these cards was obtained from personnel data provided by each incumbent on security and employment application forms, and from the dates reflected on reports of completed EO 10450 security investigations thus indicating when such investigations were completed and used as a basis for granting security clearances or for being appointed to Sensitive positions. Also, the dates of security clearances as well as the degree of security clearance as granted by the Security Office in which the cards are maintained, all of which information is contained in Personnel Security files which are identified as a separate System of Records.

Treasury/OS 00.504

System name: Summer Employees Listing—Treasury/OS.

System location: Office of the Secretary Personnel Division, Room 1330, Main Treasury Building.

Categories of individuals covered by the system: All Summer Employees within the Office of the Secretary, excluding OASIA.

Categories of records in the system: Summer Employees' names, college majors, academic level, grade, position title and office.

Authority for maintenance of the system: Chapter 410 of the Federal Personnel Manual, Subchapter 3, section 3-1, paragraph (b), Section (5).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used to determine who is eligible for seminars offered by the Office of the Secretary and the Department. Used also in the preparation of the 113 D Statistical Report for the Office of the Secretary. For additional routine uses see Treasury Appendix AA.

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

Storage: Names listed on bond paper with respective information and stored in a file cabinet.

Retrievability: Alphabetical listing by name.

Safeguards: This list is used only by the Youth Employment Coordinator or others authorized by Personnel Officer.

Retention and disposal: Records are kept for one year then are destroyed by burning.

System manager(s) and address: Carolyn C. Onufrak, Office of the Secretary, Personnel Division, Room 1330, Main Treasury Building, 15th and Pennsylvania Avenue, NW., Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Information taken from Official Personnel Folder and SF-171.

Treasury/OS 00.051

System name: Time and Attendance Cards—Treasury/OS.

System location: Room 1330 & Room 1312 Main Treasury Building.

Categories of individuals covered by the system: Personnel Division employees.

Categories of records in the system: Time in pay status and annual and sick leave balances.

Authority for maintenance of the system: IRS Timekeepers Manual 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Time cards are used to pay employees and also to inform employees of leave balances when needed. For additional routine uses see Appendix AA.

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

Storage: Metal file box.

Retrievability: By name.

Retention and disposal: Time and attendance records are kept by the timekeeper for 1 year and are then forwarded to Fiscal Division.

System manager(s) and address: Chief, Fiscal Branch, 1900 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Fiscal Branch, 1900 Pennsylvania Avenue, N.W., Employee must furnish name, office and social security number.

Record access procedures: Chief, Fiscal Branch, 1900 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Contesting record procedures: See access above.

Record source categories: International Revenue Data Center, Detroit, Michigan.

Treasury/OS 00.052

System name: Travel Records—Treasury/OS.

System location: Treas. Dept. Office of the Secretary, Financial Management Division, Room 634, 1900 Pennsylvania Ave., NW., Washington, D.C. 20220.

Categories of individuals covered by the system: All individuals authorized to perform travel for the Office of the Secretary.

Categories of records in the system: Form OS-3015, Authorization to Perform Travel, with the SF 1012, Travel Voucher, which details travel performed and expenses incurred with necessary receipts to support the claim for reimbursement to the traveler. SF 1038, Request for Advance of Funds.

Authority for maintenance of the system: 5 USC 5701-5709.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The supporting documentation for entering a charge against, and disbursing funds from, the appropriation for salaries and expenses, Office of the Secretary of the Treasury and for the Exchange Stabilization Fund. For additional routine uses, see Appendix AA.

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

Storage: Original document form in file cabinet.

Retrievability: Filed by name on a fiscal year basis.

Safeguards: Non-sensitive material handled routinely in regular file cabinet.

Retention and disposal: Presently retained for ten years then burned or shredded.

System manager(s) and address: Chief, Financial Management Division, Room 634, 1900 Pennsylvania Ave., Washington, D.C. 20220.

Notification procedure: Chief, Financial Management Division, Room 634, 1900 Pennsylvania Ave., Washington, D.C. 20220.

Record access procedures: Chief, Financial Management Division, Room 634, 1900 Pennsylvania Ave., Washington, D.C. 20220.

Contesting record procedures: See access above.

Record source categories: Facts and figures are presented by the individual related to authorized travel.

Treasury/OS 00.053

System name: Treasury Emergency Preparedness Information Program. The information system of this program contains the following information records which are subject to this inventory: (1) Emergency Executive Teams Lists, (2) Alert Notification Procedures, (3) Federal Emergency Assignee Identification—Treasury/OS.

System location: Mobilization Planning Staff, Room 731 Washington Building, 1435 G Street, N.W., c/o Main Treasury, Washington, D.C. 20220.

Categories of individuals covered by the system: (1) Treasury Emergency Executive Team Members (Teams A, B, & C) (2) Key Treasury Personnel.

Categories of records in the system: (1) Emergency Executive Team Member Lists (By Office of the Secretary and by Treasury Bureau listing); Name, Position Title, Office/Agency. (2) Key Treasury Personnel Alert Notification Lists; Name, Telephone Numbers (Office and Home), Office/Agency. (3) Information by individual application for Federal Emergency Assignee Identification Card and E&FD Pass-Badge; Name, Date of Birth, Physical Identification Characteristics, Agency.

Authority for maintenance of the system: (1) Emergency Executive Teams: Treasury Emergency Planning Circular No. 2 (Rev.) March 14, 1973; OEP Circular 9100.2 April 12, 1972; Executive Order 11490. (2) Key Treasury Personnel Alert Notification: Treasury EPC No. 2. (3) Application for Identification Card-Badge: (a) SF-138 Pass: Title 32-National Defense, Part 231 (Federal Register page 11893, October 30, 1962) Civil Defense Identification for Federal Employees. (b) GSA form 9033: Office of Preparedness (OP)/GSA-APGS Order 604.1B dated November 15, 1974.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Emergency Executive Teams Lists: Assigns key Treasury personnel (who are essential to the performance of essential emergency functions) to Teams A, B, & C. See EPC No. 2. Forms the basis for issuance of SF-138 Cards and E&FD Passes. Forms the basis for the personnel on the Alert Notification Lists who are to be notified during an emergency situation and when Civil Readiness Levels are established or changed. See EPC No. 1.

(2) Key Treasury Personnel Alert Notification Lists: Used by Treasury Telecommunications Center personnel and Emergency Planning officials in alerting key Treasury personnel and Emergen-

cy Executive Team Members during an emergency and the setting of Civil Readiness Levels.

(3) Federal Emergency Assignee Identification: (a) SF-138 Pass: Issued to all members of the three Emergency Executive Teams (A, B, & C) and to certain other key Treasury personnel. Identifies the person described on the card as having been assigned essential emergency duties for the Federal Government. It is imperative that the bearer be assisted in travel by the fastest possible means to his emergency assignment. Permits admission to emergency operating facilities to which Teams A & C members are assigned. (b) E&FD Pass: Permits admission to Office of Preparedness (OP)/GSA Special Facility, which is the emergency operating facility to which Team B members are assigned.

(4) For additional routine uses see Appendix AA.

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

Storage: (1) Emergency Executive Team Lists and Alert Notification Lists: Master copies maintained in MPS office. Copies are prepositioned within the Office of the Secretary, Telecommunications Center, Treasury Emergency Operating Facilities (TARS and OP/GSA/SF). (2) Federal Emergency Assignee Identification: (a) SF-138 application: Original in MPS. (b) E&FD application: Original filed within Office of Preparedness (OP)/GSA. Copy filed in MPS office.

Retrievability: All mentioned records are indexed by name.

Safeguards: Treasury Master Records are filed in official records in MPS office. Office is secured and locked when no office personnel are present.

Retention and disposal: Files are retained and disposed of in accordance with Treasury Department directives for record scheduling. (See Treasury Adm. Bulletin No. 74-68, September 10, 1974 and Treasury Department Order No. 227, October 24, 1973.) Passes are retrieved and destroyed by shredding when employee no longer has official need for the pass (e.g., no longer employed by Treasury as a Team member). Team List and Alert Notification Lists are maintained current. Obsolete lists are destroyed.

System manager(s) and address: Chief, Mobilization Planning Staff, Room 731 Washington Building, 1435 G Street, N.W., c/o Main Treasury, Washington, D.C. 20220.

Notification procedure: (a) Address: Chief, Mobilization Planning Staff, Room 731 Washington Building, 1435 G Street, N.W., c/o Main Treasury, Washington, D.C. 20220. (b) Identifying Information: Name, Official Capacity as a Treasury employee or former employee.

Record access procedures: By written request to Chief, Mobilization Planning Staff, Room 731 Washington Building, 1435 G Street, N.W., c/o Main Treasury, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: (a) Key Treasury officials in assigning key personnel to the Emergency Executive Teams provide position title and name of person. (b) The key personnel and team members voluntarily provide information on themselves when applying for identification cards or passes and also provide telephone numbers for the Alert Notification Lists.

Treasury/OS 00.054

System name: Treasury Payroll/Personnel Information System (To be implemented approximately January 1977 to July 1978)—Treasury/OS.

System location: Internal Revenue Service Data Center, Box 1100, Detroit, Michigan 48232.

Categories of individuals covered by the system: Personnel and payroll data on all Treasury Department employees.

Categories of records in the system: Year-to-date and historical data pertaining to personnel actions and payroll.

Authority for maintenance of the system: The Civil Service Commission in the Federal Personnel Manual (Chapter 291), establishes control of the automated personnel information under the agency Director, Personnel. The Department of the Treasury, in the Fiscal Requirement Manual, establishes control of the automated payroll information under the agency Fiscal Assistant Secretary, 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Treasury Payroll/Personnel Information System is used to furnish payroll and personnel data, information and statistics to the Civil Service Com-

mission and other requesting agencies. It is also used to generate the necessary payroll information, deductions and allotments to pay the employees on a biweekly basis and to furnish the necessary payroll information to concerned agencies required by law. The basic payroll and personnel master file provides input to management information systems, as well as related accounting and budget systems. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: The Treasury Payroll/Personnel Information System master file is kept on disc and mag tape. Information concerning the employee is retrievable through the use of the individual's name and/or social security number. Information is reduced to hard copy in the form of reports and payroll information and documentation. The Director, Detroit IRS Data Center, is the designated Treasury official responsible to insure that data is maintained and used in such a manner that will guard against the invasion of privacy of employees as set forth in all regulations.

System manager(s) and address: Chief, Treasury Employee Data and Payroll Division, Department of the Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Request in writing to: Bureau Designee..., Bureau of..., Department of the Treasury, Washington, D.C. 20220. An individual requesting information should state his or her name, social security number, bureau employed by, and geographical location of facility or duty station to which assigned.

Record access procedures: Written requests for information on the procedures for gaining access to and contesting information is to be made to: Bureau Designee..., Bureau of..., Department of the Treasury, Washington, D.C. 20220.

Contesting record procedures: See access above.

Record source categories: The Processing Clerk enters each new employee's personnel and payroll information on a copy of the SF-50, SF-52, or other standard input documents and transmits it to the processing data center. Subsequent personnel or payroll data is forwarded in this manner also.

Treasury/OS 00.055

System name: Upward Mobility Program; Counseling Application—Treasury/OS.

System location: Room 1330, Main Treasury Building, Personnel Division, Office of the Secretary, Department of the Treasury.

Categories of individuals covered by the system: Government employees occupying positions within the Office of the Secretary, occupying GS-7 and below or equivalent, and Wage Board employees below WP-9 and WG-7 positions.

Categories of records in the system: Application form reflecting identification of employees, type of position, degree of education and skill, etc.

Authority for maintenance of the system: Affirmative Action Plan.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Application will be used in conjunction with interviews on Upward Mobility Counseling, to give an idea of what type of training and/or experience the applicant has, and what career goals the applicant may have. For additional routine uses see Treasury Appendix AA.

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

Storage: The alphabetized applications are presently kept with other Upward Mobility materials, but will be filed into the Official Personnel Files shortly.

Retrievability: The system is indexed by name.

Safeguards: The applications are kept in a locked file, and will ultimately be inserted into Official Personnel Files which are also kept in locked files.

Retention and disposal: Maintained on left hand side of personnel folder and are retained until employee leaves Treasury.

System manager(s) and address: Upward Mobility Counselor, Room 1325, Main Treasury Building, Office of the Secretary, Department of the Treasury, Washington, D.C.

Notification procedure: Office of the Secretary, Personnel Division, Room 1330, Main Treasury Building, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220. The employee should submit name and social security number.

Record access procedures: Request for gaining access can be made orally. See access and notification above.

Record source categories: The information reflected on these applications was obtained from personal data provided by each applicant.

Treasury/OS 00.060

System name: Correspondence files and records on employee complaints and/or dissatisfaction—Treasury/OS.

System location: Office of Personnel, Room 2425, Main Treasury Bldg., Washington, D.C. 20220.

Categories of individuals covered by the system: Former or current Department employees.

Categories of records in the system: Correspondence dealing with employee complaints.

Authority for maintenance of the system: Departmental discretion on maintenance of correspondence files. 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference purposes; evaluation of personnel management; responding to inquiries from Congressmen, the White House, and other government officials. For additional routine uses see Appendix AA.

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

Storage: File folders, file cabinets.

Retrievability: By employee name.

Safeguards: Filed in filing cabinet and released only to individuals with a legitimate right to review.

Retention and disposal: Records are maintained and disposed of in accordance with Treasury Department's Records Retention and Disposal Schedule for Administrative correspondence.

System manager(s) and address: The Director of Personnel, Department of the Treasury, Room 2426, Main Treasury Building, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Assistant Director of Personnel, Employee Relations and Services, Department of the Treasury, Room 2425, Main Treasury Building, Washington, D.C. 20220.

Record access procedures: The Director of Personnel, Department of the Treasury, Room 2426, Main Treasury Building, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Contesting record procedures: See access above.

Record source categories: Current and former employees, and/or representatives, employees' relatives, Congressmen, the White House, management officials.

Treasury/OS 00.061

System name: Employee Grade Complaint file—Treasury/OS.

System location: Office of Personnel, 15th & Pennsylvania Avenue, N.W., Washington, D.C., Room 2426.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Category IV (memorandums and letters about individuals involved in any kind of case action).

Authority for maintenance of the system: Title V grants agencies authority to adjudicate classification and pay appeals. 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used in comparing similar case appeals in connection with the job; not specifically in reference to the employee. For additional routine uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: by bureau and alphabetically by name of individuals.

Safeguards: information is not classified.

Retention and disposal: policy is to destroy after 3 years of completion of appeal cases.

System manager(s) and address: Deputy Director of Personnel, Department of the Treasury, 15th & Pennsylvania Avenue, Washington, D.C. 20220.

Notification procedure: Deputy Director of Personnel, Department of the Treasury, 15th and Pennsylvania Avenue, Washington, D.C. 20220.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Memos to and from appellant, including bureau, Treasury and Civil Service Commission memorandums and letters on the subject.

Treasury/OS 00.062

System name: Executive Inventory Files—Treasury/OS.

System location: Room 2412, Main Treasury Building, Washington, D.C. 20220.

Categories of individuals covered by the system: All GS and GG-15, 16, 17, 18 employees of the Department of the Treasury.

Categories of records in the system: A brief description of identifying biographical data, work experience, education, professional activities, honors, special qualifications and references.

Authority for maintenance of the system: Executive Order 11315 which authorized the Executive Assignment System and subsequent Civil Service Commission procedures and regulations which established the Executive Inventory Files.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information is used in making personnel decisions and in processing personnel actions on executives in the Department of the Treasury. For additional routine uses see Appendix AA.

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

Storage: Records are maintained in typed or hand-written form. File cabinets.

Retrievability: The records are kept by organizational units and position grade level in alphabetical order.

Safeguards: Physical security is provided by storage in file cabinets with personnel screening accomplished by limiting access to authorized Treasury personnel and management officials on a "need to know" basis.

Retention and disposal: The records are kept as long as the employee is assigned to a GS or GG-15, 16, 17, or 18 position, except for employees who retire. The records on retirees are kept for approximately one year from their date of retirement. The records are burned when we dispose of them.

System manager(s) and address: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220.

Notification procedure: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220. The individual needs to provide his name, present organizational assignment, position title and grade.

Record access procedures: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220.

Contesting record procedures: See access above.

Record source categories: The SF-161 and SF-161-A are provided by the employees or their servicing personnel offices.

Treasury/OS 00.063

System name: Personnel Security Files and Indices—Treasury/OS.

System location: Assistant Director of Personnel (Personnel Security), Room 652, 1900 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Current and former employees of the Department of the Treasury.

Categories of records in the system: The files and records contain investigative information related to personnel investigations conducted by the Department of the Treasury and other Federal agencies and departments, for the purpose of granting security clearances and making suitability determinations.

Authority for maintenance of the system: Executive Order 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The contents of these records and files may be disclosed and used within the Federal government as follows:

(1) To officers and employees of the Department of the Treasury who have a need for the information in the performance of their official duties.

(2) To designated officers and employees of other agencies and departments of the Federal government having an interest in the individual for employment purposes including a security clearance or

access determination, and a need to evaluate qualifications, suitability, and loyalty to the United States government.

(3) To designated officers and employees of other agencies and departments of the Federal government to avoid duplication when such agency or department conducts an investigation of the individual for the purpose of granting a security clearance or access, or for the purpose of making a determination of qualifications, suitability, or loyalty to the United States government.

(4) To designated officers and employees of other agencies and departments of the Federal government having the responsibility to grant security clearance, make a determination regarding access to classified information or restricted areas, or to evaluate qualifications, suitability, or loyalty to the United States government, in connection with performance of a service to the Federal government under a contract or other agreement.

(5) To any agency of the Federal government having oversight or review authority with regard to Treasury Department activities.

(6) To the intelligence agencies of the Department of Defense, National Security Agency, Central Intelligence Agency, and the Federal Bureau of Investigation for use in intelligence activities.

(7) To any source from which information is requested in the course of an investigation, to the extent necessary to identify the individual, inform the source of the nature and purpose of the investigation, and to identify the type of information requested.

(8) In the event of an indication of any violation or potential violation of the law, whether civil, criminal, or regulatory in nature, and whether arising by statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; such referral shall also include, and be deemed to authorize (1) any and all appropriate and necessary uses of such records in a court of law and before an administrative board or hearing, including referrals related to probation and parole matters; and (2) such other inter-agency referrals as may be necessary to carry out the receiving agency's assigned law enforcement duties.

(9) To the Department of Justice for consideration of prosecution for violation of laws regarding Federal employment, including fraud in the application, examination, or appointment, and in cases where the Department of Justice is required to represent the Department of the Treasury or any other agency or department of the Federal government.

(10) To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision.

(11) As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; may also be utilized to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act or to locate specific individuals for personnel research or other personnel management functions.

(12) To any agency, department, or other branch of the Federal government having a legitimate need under statutory authority.

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

Storage: Personnel Security Index—4 x 5 cards.

Retrievability: Filed in a rotary file in alphabetical order, and retrieved by name.

Safeguards: Office is locked during non-business hours.

Retention and disposal: This is a permanent file; no cards have been retired. Personnel security files are maintained in security-type file cases with 3 position combination locks. These files are retired to the Federal Records Center one year after the employee leaves Treasury.

System manager(s) and address: Assistant Director of Personnel (Personnel Security) Room 652, 1900 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Exempt system.

Record access procedures: Exempt System.

Contesting record procedures: Exempt system.

Record source categories: Exempt system.

Systems exempted from certain provisions of the act: Portions of this system proposed to be exempted elsewhere in the Federal Register.

Treasury/OS 00.064

System name: Timecards—Treasury/OS.

System location: 15th & Pennsylvania Avenue, N.W., Washington, D.C., Room 2426.

Categories of individuals covered by the system: Employees in Office of Personnel.

Categories of records in the system: Category III (official records on employees kept and used by the employer).

Authority for maintenance of the system: Federal Employees Compensation Act, 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The person receives his pay based on the number of hours recorded on the timecard. For additional routine uses see Appendix AA.

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

Storage: computer cards, in filing box.

Retrievability: name.

Safeguards: locked in filing cabinet.

Retention and disposal: retain in this office for one year then forward to Fiscal Division, Office of Secretary.

System manager(s) and address: Timekeeper, Office of Personnel, Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Director of Personnel, Department of the Treasury, 15th & Pennsylvania Ave., Washington, D.C. 20220.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: Personnel records.

Treasury/OS 00.065

System name: Appointment at Above the Minimum Rate of the Grade Files—Treasury/OS.

System location: Room 2412, Main Treasury Building, Washington, D.C. 20220.

Categories of individuals covered by the system: Persons proposed for employment by the Department of the Treasury at a salary rate above the minimum rate of the grade and for which approval is sought by Treasury from the U.S. Civil Service Commission.

Categories of records in the system: A collection of documents required for requesting approval by the U.S. Civil Service Commission of appointments at a salary rate above the minimum rate of the grade, including: Request for Approval of Non-Competitive Action (SF-59); Personal Qualifications Statement (SF-171); Position Description (OF-8); and in some instances, Request for Personnel Action (SF-52); Certification Form (SF-39); letters of justification; and general correspondence requesting approval of the action.

Authority for maintenance of the system: The authority which authorizes the solicitation of the information by the agency is Title 5 U.S. Code and the various rules and regulations of the U.S. Civil Service Commission pursuant thereto, as well as the implementing personnel policies derived therefrom by the Department of the Treasury.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information is used to satisfy the minimum data requirements needed for consideration and approval of appointments at above the minimum rate of the grade by the U.S. Civil Service Commission. For additional routine uses see Treasury Appendix AA.

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

Storage: Records are maintained in typed or hand-written form.

Retrievability: System is indexed by name in a log and filed in chronological order as requests for approval are acted upon by the U.S. Civil Service Commission.

Safeguards: Physical security is provided by storage in file cabinets with personnel screening accomplished by limiting access to authorized Treasury personnel and management officials on a "need to know" basis.

Retention and disposal: Records are retained for an indefinite period of time and are destroyed by standard destruction methods including burning of Personal Qualifications Statements and related confidential information.

System manager(s) and address: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220.

Notification procedure: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220. The individual is required to provide his name and the Treasury organizational assignment, position title, grade/salary, and date of most recent appointment above the minimum rate of the grade requested by the Department of the Treasury.

Record access procedures: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: The documents which constitute this system, and which are listed under Category of Record, came from the individual applicant, his servicing personnel office, the U.S. Civil Service Commission, and other concerned management officials within the Department of the Treasury.

Treasury/OS 00.066

System name: Combined Applicant/Applicant Correspondence File—Treasury/OS.

System location: Room 2412, Main Treasury Building, Washington, D.C. 20220.

Categories of individuals covered by the system: Persons who have sent applications, or have asked questions about employment in the Department of the Treasury, or whose applications or questions have been referred to the Department of the Treasury by others for reply.

Categories of records in the system: Standard Applications for Federal Employment (SF-171).

Resumes providing a reflection of such personal or job related experience as the writer elected to furnish.

Correspondence from applicants and responses thereto, ranging from general inquiries to specific complaints about alleged practices, treatment, or requirements.

Authority for maintenance of the system: Most material is not solicited though on occasion applications are sought for specific positions.

The material, generally, is related to Treasury's personnel operations carried out under various provisions of Title 5, U.S. Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Employment inquiries received from applicants are routed to specific bureau personnel offices (if requested) or to all bureau personnel offices (if not specified). Should bureaus have vacancies for which outside applications are being accepted, they will be included for referral. Applicants are advised that we have referred their applications. Occasionally, applications are solicited from the general public for hard-to-fill jobs. When solicited, applicants are advised to apply directly to the bureau having the vacancy if they desire consideration. For additional routine uses see Treasury Appendix AA.

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

Storage: Records are maintained in typed or hand-written form.

Retrievability: Records are maintained in a manual filing system, indexed alphabetically and retrievable by name of applicant. In addition, a written log is maintained on all applications circulated to bureau personnel offices. The log gives name of applicant, date received, and date circulated.

Safeguards: Physical security is provided by storage in file cabinets. Only authorized personnel officials have access to the files maintained in Room 2412. These files are not available to the general public or to persons outside the personnel office who have no "need to know."

Retention and disposal: Files are maintained for a period of two years at the end of which time they are burned.

System manager(s) and address: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220.

Notification procedure: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220. Since the system is filed alphabetically, only the applicant's name is required.

Record access procedures: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Applications (SF-171, resumes) from the general public, including correspondence initially addressed to the President, Congressmen, or Senators are transmitted to this office because they deal with Treasury matters, issues, or employment.

Treasury/OS 00.067

System name: Detailed Employee Files—Treasury/OS.

System location: Room 2412, Main Treasury Building, Washington, D.C. 20220.

Categories of individuals covered by the system: Department of the Treasury employees whose detail to other organizations and/or positions requires approval at the Departmental level.

Categories of records in the system: Correspondence requesting approval of details and Request for Personnel Action (SF-52) which documents the detail and reflects approval of it. In some instances there may also be a Personal Qualifications Statement, (SF-171), and attachments, Position Description (OF-8), and Request for Approval of Non-Competitive Action (SF-59).

Authority for maintenance of the system: The authority which authorizes the solicitation of the information by the agency is Title 5 U.S. Code and the various rules and regulations of the U.S. Civil Service Commission pursuant thereto, as well as the implementing personnel policies derived therefrom by the Department of the Treasury.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information is used to satisfy the minimum data requirements needed for consideration and approval of details of employees requiring approval at the Departmental level. For additional routine uses see Treasury Appendix AA.

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

Storage: Records are maintained in typed or hand-written form.

Retrievability: System is indexed by name in a log and filed in chronological order as details are approved.

Safeguards: Physical security is provided by storage in file cabinets with personnel screening accomplished by limiting access to authorized Treasury personnel and management officials on a "need to know" basis.

Retention and disposal: Records are retained for an indefinite period of time and are destroyed by standard destruction methods including burning of Personal Qualifications Statements and related confidential information.

System manager(s) and address: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220.

Notification procedure: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220. The individual is required to provide his name and the Treasury organizational assignment, position title, grade/salary, and date of most recent detail requiring approval at the Departmental level.

Record access procedures: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: The documents which constitute this system, and which are listed under Category of Record, came from the employee's servicing personnel office, and other concerned management officials within the Department of the Treasury.

Treasury/OS 00.068

System name: Whitten Amendment Exception Files—Treasury/OS.

System location: Room 2412, Main Treasury Building, Washington, D.C. 20220.

Categories of individuals covered by the system: Persons employed by, or proposed for employment by, the Department of the Treasury and in whose behalf an exception to the Whitten Amendment is sought by Treasury.

Categories of records in the system: A collection of documents required for requesting approval by the U.S. Civil Service Commission of exceptions to the Whitten Amendment, including: Request for Approval of Non-Competitive Action (SF-59); Personal Qualifications Statement (SF-171); Position Description (OF-8); and, in some instances, Request for Personnel Action (SF-52); letters of justification; and general correspondence requesting approval of the exception.

Authority for maintenance of the system: The authority which authorizes the solicitation of the information by the agency is Title 5 U.S. Code and the various rules and regulations of the U.S. Civil Service Commission pursuant thereto, as well as the implementing personnel policies derived therefrom by the Department of the Treasury.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information is used to satisfy the minimum data requirements needed for consideration and approval of exceptions to the Whitten Amendment by the U.S. Civil Service Commission. For additional routine uses see Appendix AA.

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

Storage: Records are maintained in typed or hand-written form.

Retrievability: System is indexed by name in a log and filed in chronological order as requests for exceptions are acted upon by the U.S. Civil Service Commission.

Safeguards: Physical security is provided by storage in file cabinets with personnel screening accomplished by limiting access to authorized Treasury personnel and management officials on a "need to know" basis.

Retention and disposal: Records are retained for an indefinite period of time and are destroyed by standard destruction methods including burning of Personal Qualifications Statements and related confidential information.

System manager(s) and address: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220.

Notification procedure: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220. The individual is required to provide his name and the Treasury organizational assignment, position title, grade/salary, and date of most recent Whitten Amendment exception requested by the Department of the Treasury.

Record access procedures: Assistant Director of Personnel (Executive Manpower and Employment), Room 2412, Main Treasury Building, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: The documents which constitute this system, and which are listed under Category of Record, came from the individual employee or applicant, his servicing personnel office, and other concerned management officials within the Department of the Treasury.

Treasury/OS 00.070

System name: Office of Computer Science, Work Assignment and Control Form—Treasury/OS.

System location: 1435 G Street, N.W., Room 201, Washington, D.C. 20220.

Categories of individuals covered by the system: All personnel in Office of Computer Science.

Categories of records in the system: List of projects and time spent on each project. List of projected project milestone dates and actual dates completed.

Authority for maintenance of the system: Implied authority of manager to maintain records of staff assignments and workload. 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Assignment of work to individuals. (2) Record of manpower resources spent for each customer organization. (3) Performance evaluation. (4) Historical records used as examples for budget preparation. (5) For additional routine uses see Appendix AA.

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

Storage: Paper, mag. tape files.

Retrievability: Indexed by name.

Safeguards: Under supervision of responsible manager during working hours. Room locked at other times.

Retention and disposal: Retained one year, then erased or discarded.

System manager(s) and address: Director, Office of Computer Science, 1435 G Street, N.W., Room 201, Washington, D.C. 20220.

Notification procedure: Office of Computer Science, 1435 G Street, N.W., Room 201, Washington, D.C. 20220. Identifying information—name.

Record access procedures: Written request, to: Director, Office of Computer Science, 1435 G Street, N.W., Room 201, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Forms filled out by staff members.

Treasury/OS 00.080

System name: Banks' Affirmative Action files—Treasury/OS.

System location: Office of Equal Opportunity Program (Headquarters Office), U.S. Department of the Treasury, 1000 City Building, 1612 K Street, N.W., Washington, D.C. 20220. Office of Equal Opportunity Program, U.S. Department of the Treasury, Room 948, 75 Piedmont Street, N.W., Atlanta, Georgia 30303. Office of Equal Opportunity Program, U.S. Department of the Treasury, Suite 1415, 55 East Monroe Street, Chicago, Illinois 60603. Office of Equal Opportunity Program, U.S. Department of the Treasury, Room 232, 701 San Jacinto, Houston, Texas 77002. Office of Equal Opportunity Program, U.S. Department of the Treasury, Room 1312, 300 North Los Angeles Street, Los Angeles, California 90012.

Categories of individuals covered by the system: Bank employees, classified by race and sex.

Categories of records in the system: (a) Print-outs listing all employees by major organizational unit, job title, and salary grade, by race and sex. (b) Applicant flow data, hires, promotions, transfers, trainees, and terminations.

Authority for maintenance of the system: Executive Order 11246, as amended; Revised Order No. 4 (Affirmative Action Programs), 41 CFR 60-2; Revised Order No. 14 (Contractor Evaluation Procedures), 41 CFR 60-60.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Files are used for monitoring of affirmative action objectives, goals and timetables of financial institutions. For additional routine uses see Appendix AA.

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

Storage: Records are kept in manila folders in filing cabinets.

Retrievability: Banks are indexed alphabetically by state, city within state, and name of bank within city.

Safeguards: An official has been designated as the only authorized person responsible for disclosure of records.

Retention and disposal: No records have been destroyed since the inception of the Program in 1967.

System manager(s) and address: System Manager, Office of Equal Opportunity Program, Office of the Secretary, Department of the Treasury, Washington, D.C. 20220, Telephone: 202-964-8146.

Notification procedure: Address of Agency—same as above, System Manager, Address of Location at which Individual is to Present Request—same as above, System Manager. Identifying information that individual is required to provide; name and dates of employment at particular financial institution.

Record access procedures: Inquiries for access to and contest of records may be directed to the address supplied above under System Manager.

Contesting record procedures: See System Manager above.

Record source categories: Information comes from the personnel records and policies of the subject financial institution.

Treasury/OS 00.081

System name: Centralized Automated System for Reporting Employment Statistics in the Department of the Treasury (REST)—Treasury/OS.

System location: Office of the Chief, Fiscal Division, Internal Revenue Service Data Center, Box 1100, Detroit, Michigan 48232. This is the location of data processing support for the REST System.

Categories of individuals covered by the system: Employment statistics on Treasury minority groups and female employees.

Categories of records in the system: The following information is contained in the system: (1) Submitting Office Number, (2) Bureau, (3) Region, (4) Office, (5) Social Security Number, (6) Minority Designation Code, (7) Geographical Location Code, (8) Series (Occupational), (9) Pay Plan Code, (10) Grade, (11) Sex, (12) Code for Full-time, Part-time, and Intermittent, (13) Code for Seasonal (WAE), (14) Citizenship Code, (15) Supervisory Code, (16) Birth Month, (17) Birth Year, (18) Nature of Action Code, (19) Effective Date of Action, (20) On/Off Roll Code, (21) Salary (for Employees Who Do Not Have a Grade, i.e. Wage Systems, Special Emphasis, etc.)

Authority for maintenance of the system: The Civil Service Commission in the Federal Personnel Manual (Chapter 713, Subchapter 3A), establishes the full control of an automated minority group identification system under the agency Director, Equal Employment Opportunity (EEO), or his designated EEO Official.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The centralized system for Reporting Employment Statistics in the Treasury is used to furnish statistics on employment distribution to Personnel Officers, EEO Officers and Department staff as needed. Also, a periodic report of employment statistics on distribution of minority groups and female employees is provided to all Personnel and EEO Offices. Data will be provided OMB, the White House and Congress upon request. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: The Centralized Automated System for Reporting Employment Statistics is kept on a mag-tape which is the master file for minority and female statistics. Information concerning the employee is retrievable through the use of the individual's social security number. The mag-tape is not kept more than a year and is reused normally for the same or similar data. Tape data is reduced to hard copy in the form of reports. The Director, Equal Opportunity Program (EOP), is the designated Treasury official responsible to insure that minority group identification of Department employees is maintained and used in such a manner that will guard against the invasion of privacy of employees as set forth in all regulations.

System manager(s) and address: Chief, Treasury Employee Data and Payroll Division, Department of the Treasury, 15th and Pennsylvania Avenue, Washington, D.C. 20220.

Notification procedure: Office, Equal Opportunity Program, Department of the Treasury, 15th and Pennsylvania Avenue, Washington, D.C. 20220. An individual requesting information should state his or her name, social security number, bureau employed by, and geographical location of facility or duty station to which assigned.

Record access procedures: Written requests for information on the procedures for gaining access to and contesting information is to be made to: Director, Office, Equal Opportunity Program, Department of the Treasury, 15th and Pennsylvania Avenue, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: The Processing Clerk enters each new employee's minority group designation code, cost code or organization designation code, sex code, citizenship code and supervisory position code on one copy of the SF-50 and sends it to the IRS Data Center.

Treasury/OS 00.082

System name: EEO Complaint Processing System—Treasury/OS.

System location: Office, Equal Opportunity Program, Department of the Treasury, Room 1000, 1612 K Street, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Applicants for employment and aggrieved employees who have filed formal Equal Employment Opportunity complaints against the Department and its Bureaus.

Categories of records in the system: Each EEO investigative file contains: (a) a copy of each affidavit of the complainant, the alleged discriminatory official, and other witnesses; (b) a copy of each agency record obtained; and (c) a copy of the other informa-

tion acquired in the investigation. When information concerning the agency's policies or procedures is essential to an understanding of matters covered by the investigation, a copy of, or an excerpt from this material will be included in the file. Files may include, depending on complainants exercising appeal rights, Hearing Transcripts and Decisions by Civil Service Commission Complaints Examiners, and Decisions by the Appeals Review Board.

Authority for maintenance of the system: Part 713.203(k) of the Civil Service Commission's Rules and Regulations, require agencies to "provide for the prompt, fair and impartial consideration and disposition of complaints involving issues of discrimination on grounds of race, color, religion, sex or national origin." Federal Personnel Manual Letter No. 713-25, provides "an agency will process complaints of discrimination on account of age."

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The EEO investigative record is used to resolve complaints of discrimination between aggrieved employees or applicants for employment, and agency management. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: The records are maintained in EEO complaint case file folders. The files are maintained by the name of the complainant in an alphabetical order. The Director, Equal Opportunity Program, and his EEO staff, and the Civil Service Commission have access to these files. The Federal District Courts have access to the files in the event the complainant appeals to that level. Normally, the files are maintained in the Department of Treasury for a period of from two (2) to three (3) years before being forwarded to the Federal Records Center, Alexandria, Virginia.

System manager(s) and address: Director, Office of Equal Opportunity Program, Department of the Treasury, 15th and Pennsylvania Avenue, Washington, D.C. 20220. The individual requesting the information must identify the date he or she filed a formal complaint, the Bureau against whom the complaint was filed, and if known, the date the complaint was closed.

Notification procedure: See System Manager above.

Record access procedures: To obtain information on the procedure for gaining access to and contesting records write to: Director, Office of Equal Opportunity Program, Department of the Treasury, 15th and Pennsylvania Avenue, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: The information came from Affidavits of the parties involved and witnesses. Information also comes from personnel records, as well as from other documents relating to personnel management.

Treasury/OS 00.083

System name: Spanish Speaking Informal Application File (S.F. 171)—Treasury/OS.

System location: Office, Equal Opportunity Program, Spanish Speaking Program, Department of the Treasury, 1612 K Street, N.W., Room 1000, Washington, D.C. 20220.

Categories of individuals covered by the system: Spanish Speaking citizens who are seeking employment and/or promotions with the Federal Government.

Categories of records in the system: CSC Standard Form 171 (Personal Qualifications Statement).

Authority for maintenance of the system: Civil Service Commission EPM Letter 713-18.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Standard Forms 171 are referred to the Bureaus by the Spanish Speaking Program Coordinator to the Bureau Spanish Speaking Program Coordinators to assure that Spanish Speaking are fairly considered for job openings and/or promotions. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: The applications are kept in a file by name. Safeguards are taken to prevent unauthorized disclosures of records. The office is locked and physical security is maintained at the entrance of the building when closed. The Standard Forms 171 are kept at least one year and/or disposed of after individual has been employed or promoted. If no action is taken within one year, the application is returned to the individual concerned.

System manager(s) and address: Spanish Speaking Program Coordinator, U.S. Treasury Department, 1612 K Street, N.W., Room 1000, Washington, D.C. 20220.

Notification procedure: Same as above. No identifying information of an individual is required except his/her name.

Record access procedures: An individual can gain access to his/her records by requesting them by letter, or visit to the Office of Equal Opportunity Program's Director, Equal Employment Opportunity's Deputy Director, or the Spanish Speaking Program Coordinator at: Mailing Address: Office of the Secretary, Office of Equal Opportunity Program, U.S. Treasury Department, Washington, D.C. 20220. Office Location: Same as Systems Manager.

Contesting record procedures: See Access above.

Record source categories: All Standard Forms 171 (Federal Government applications) were submitted by the individuals and/or other Spanish Speaking Program Coordinators.

Treasury/OS 00.090

System name: EOTA FOI Request/Appeals Files—Treasury/OS.

System location: Office of the Assistant Secretary (Enforcement, Operations & Tariff Affairs), Main Treasury Building, 1500 Pennsylvania Ave., N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Individuals submitting original requests for information or appeals of initial denials to this office under the Freedom of Information Act.

Categories of records in the system: Copies of the requests or appeals under FOIA submitted by individual; other correspondence on the FOI matter; copies of disclosed material.

Authority for maintenance of the system: 5 USC 301, 5 USC 552.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Consult and advise other offices and bureaus of Treasury and of other Federal Departments and agencies; advise Members and committees of Congress. For additional routine uses see Appendix AA.

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

Storage: Hard copy paper files.

Retrievability: Manual, by name and/or number assigned.

Safeguards: Locked file cabinet or safe-cabinet storage; access to personnel with need to know.

Retention and disposal: Retained indefinitely.

System manager(s) and address: Official prescribing policies and practices—Assistant Secretary (Enforcement, Operations & Tariff Affairs) Officials maintaining the system—Director of Law Enforcement, Director of Operations, Director of Tariff Affairs.

Notification procedure: Office of the Assistant Secretary (Enforcement, Operations & Tariff Affairs), Department of the Treasury, Washington, D.C. 20220—Name, signature & date of original and appellate requests.

Record access procedures: Office of the Assistant Secretary (Enforcement, Operations & Tariff Affairs), Department of the Treasury, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Individual making FOI request or appeal; offices, bureaus, agencies, departments and personnel of Federal Government who have relevant information or must be consulted for appropriate processing.

Treasury/OS 00.101

System name: International Criminal Police Organization (INTERPOL) Criminal Investigative Records—Treasury/OS

System location: Room 1116—Main Treasury Building, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Individuals who have been convicted or are subjects of a criminal investigation with international aspects; specific missing persons; specific deceased persons in connection with death notices; certain weapons, motor vehicles, artifacts, etc., stolen and/or involved in crime which may or may not be associated with an individual. Certain victims of criminal violations in the U.S. or abroad.

Categories of records in the system: Information concerning an individual may be maintained in this system of records which includes but is not limited to records pertaining to fugitives, wanted persons, suspected persons, lookouts (temporary and permanent), specific missing persons, deceased persons in connection with

death notices. Information about individuals includes but is not limited to name, alias, date of birth, address, physical description, various identification numbers, reason for the record or lookout, details and circumstances surrounding the actual or suspected violation.

Authority for maintenance of the system: 22 USC 263a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Use—Criminal investigations being conducted by law enforcement agencies in the U.S. or abroad. Users—Local, State and Federal Agents and employees of the U.S. National Central Bureau of INTERPOL who have a need for the records in the performance of their duties; law enforcement agencies and criminal justice agencies in the United States and abroad; INTERPOL General Secretariat and INTERPOL National Central Bureaus in member countries; disclosure required in administration of Freedom of Information Act (5 U.S.C. 552); referral to employees and officials of financial and commercial business firms and to private individuals of identifying information pertaining to actual or suspected criminal offenders where such referral is considered reasonably necessary for the purpose of furthering efforts to investigate the activities of and apprehend criminal offenders; translators of foreign languages as necessary; and for additional routine uses, see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Stored in file folders at the U.S. National Central Bureau and certain limited data in Treasury Enforcement Communications System (TECS). Upon inactivity for five years the file is destroyed except for judicial cases involving personnel in this NCB, which is retained for 20 years from the date of the judicial action. Files on deceased persons are destroyed within one year of the person's death. Certain records, such as death notifications and missing persons records, are normally destroyed within the year after the matter is received and/or resolved. Records not of continuing interest may be destroyed at any time. Retrievability by name or file number and by weapons number and motor vehicle number. Access is limited to personnel of the U.S. NCB—INTERPOL, except for certain fugitive/wanted records in TECS which are accessible to all TECS terminals. Disposal of records is by shredding or burning. Safeguards include need to know procedural and physical safeguards, such as accountability, restricted areas and alarm protection systems.

System manager(s) and address: Chief, U.S. National Central Bureau, INTERPOL, Room 1116, Main Treasury Building, Washington, D.C. 20220.

Notification procedure: Exempt system.

Record access procedures: Exempt system.

Contesting record procedures: Exempt system.

Record source categories: Exempt system.

Systems exempted from certain provisions of the act: The Assistant Secretary (Enforcement, Operations and Tariff Affairs) pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/OS 00.102

System name: Treasury Enforcement Communications System (TECS)—Treasury/OS.

System location: International Criminal Police Organization (INTERPOL) Criminal Investigative Records, Room 1116—Main Treasury Building, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Individuals who have been convicted or are subjects of a criminal investigation with international aspects; specific missing persons; specific deceased persons in connection with death notices; certain weapons, motor vehicles, artifacts, etc., stolen and/or involved in crime which may or may not be associated with an individual. Certain victims of criminal violation in the U.S. or abroad.

Categories of records in the system: Information concerning an individual may be maintained in this system of records which includes but is not limited to records pertaining to fugitives, wanted persons, suspected persons, lookouts (temporary and permanent), specific missing persons, deceased persons in connection with death notices. Information about individuals includes but is not limited to name, alias, date of birth, address, physical description,

various identification numbers, reason for the record or lookout, details and circumstances surrounding the actual or suspected violator.

Authority for maintenance of the system: 5 U.S.C. 301, Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Use—Criminal investigations being conducted by law enforcement agencies in the U.S. or abroad. Users—Local, State and Federal Agents and employees of the U.S. National Central Bureau of INTERPOL who have a need for the records in the performance of their duties; law enforcement agencies and criminal justice agencies in the United States and abroad; INTERPOL General Secretariat and INTERPOL National Central Bureaus in member countries; disclosure required in administration of Freedom of Information Act (5 U.S.C. 552); referral to employees and officials of financial and commercial business firms and to private individuals of identifying information pertaining to actual or suspected criminal offenders where such referral is considered reasonably necessary for the purpose of furthering efforts to investigate the activities of and apprehend criminal offenders; translators of foreign languages as necessary; and for additional routine uses, see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Magnetic tape and disc storage and hard copy. Files on deceased persons are destroyed within one year of the person's death. Certain records, such as death notifications and missing persons records, are normally destroyed within the year after the matter is received and/or resolved. Records not of continuing interest may be destroyed at any time. Retrievability by name, file number, personal identification number, system identification number, weapons or motor vehicle number. Access safeguards include need to know, procedural and physical safeguards, such as accountability, restricted areas and alarm protection systems backed up by armed security force. Upon inactivity for five years the file is destroyed except for judicial cases involving personnel in this NCB, which are retained for 20 years from the date of judicial action. Disposal of records is by shredding or burning.

System manager(s) and address: Chief, U.S. National Central Bureau, INTERPOL, Room 1116, Main Treasury Building, Washington, D.C. 20220.

Notification procedure: Exempt System.

Record access procedures: Exempt System.

Contesting record procedures: Exempt System.

Record source categories: Exempt System.

Systems exempted from certain provisions of the act: The Assistant Secretary (Enforcement, Operations and Tariff Affairs) pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/OS 00.110

System name: Foreign Assets Control Administrative Records—Treasury/OS.

System location: Office of Foreign Assets Control, 1331 G Street, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Office of Foreign Assets Control employees. Treasury Department General Counsel employees assigned to FAC work. Former Office of Foreign Assets Control employees. Applicants for employment with Treasury Department, Office of Foreign Assets Control.

Categories of records in the system: Applications for employment with the Office of Foreign Assets Control, or with the Office of Chief Counsel, Foreign Assets Control; records of grade promotions of Foreign Assets Control employees; records of within grade salary step increases of Foreign Assets Control employees; analysis of performance of legal professionals assigned to Foreign Assets Control Work; supervisory evaluation of Foreign Assets Control Employees; confidential financial statements.

Authority for maintenance of the system: 5 U.S.C. Sections 301 and 302, Treasury Department Order No. 128, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: As source of information in consideration of hiring of new Foreign Assets Control em-

ployees. To determine whether a grade promotion of an employee is indicated. To determine whether annual within grade salary step increase is warranted. To compile mailing list of employees for Foreign Assets Control uses and purposes. To determine what training of Foreign Assets Control employees is needed. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Foreign Assets Control administrative records are placed in folders which are kept in file cabinets, secured by approved detachable combination locks. FAC administrative records are retrieved from the administrative file by the name of the individual. Each FAC file cabinet containing administrative records is locked when not in use. Such files are located in an area which is manned during duty hours by FAC employees. No person other than the Director (Acting) is allowed access to such records, except as specifically designated by the Acting Director. During off-duty hours the file area is safe-guarded by appropriate electronic protective devices. FAC administrative records (other than application for employment) are kept indefinitely for so long as they are useful to the Office of Foreign Assets Control.

System manager(s) and address: Director, Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220.

Notification procedure: Requests by an individual for notification as to whether Foreign Assets Control Administrative Records contain information relating to him should be (a) mailed: Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220. (b) presented in person: Office of Foreign Assets Control, 1331 G Street, N.W., Room 504, Washington, D.C.

Record access procedures: Requests for information on gaining access to or contesting of information contained in FAC Administrative Records should be mailed to: Director, Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: All information contained in the FAC administrative records is usually obtained from the individual, or from Treasury Department Personnel Office.

Treasury/OS 00.111

System name: FAC 1950 Census of Blocked Chinese Assets—Treasury/OS.

System location: 1331 G Street, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Most of these records contain reports and correspondence regarding blocked accounts of persons or firms who are nationals of the Peoples Republic of China. However, there is a small class of cases where reports were received regarding the assets of an individual subject to U.S. jurisdiction when such individual is the trustee of a Chinese national, Administrator or Executor of the estate of a Chinese national, heir of the estate of a Chinese national, etc. Most of the persons filing these reports were American corporations. However, a small number of reporters were American individuals.

The principal category is individuals residing in China who had an interest in property in the U.S. on December 18, 1950. This category would include (a) U.S. citizens who left China after December 17, 1950; and (b) non-U.S. citizens who left China after December 17, 1950, and became U.S. citizens or permanent alien residents of the U.S.

In addition, this system includes individuals in the U.S. who had acted for or on behalf of the government of the Peoples Republic of China, or individuals who had an interest in property in which there was also an interest of a Chinese national on or since December 17, 1950, for example, trusts and estates, joint accounts and partnerships.

Categories of records in the system: (6) Reports containing a brief description, including location and value, of assets in the U.S. on December 18, 1950, in which, China or a Chinese "national" (as defined in the Regulations) had any interest. (2) Correspondence regarding such reports. (3) A computer print-out summarizing the information contained in the reports.

Authority for maintenance of the system: Section 5(b) of the Trading with the Enemy Act (50 U.S.C. App., Section 5(b)). Section 500.603 of the Foreign Assets Control Regulations (31 CFR 500.603).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information in this system of records: (1) is used by staff to verify the accuracy of re-

ports submitted under the 1970 Census of Blocked Chinese Assets; (2) is made available to the Chief of Enforcement, in connection with determining the present whereabouts of holders or custodians who cannot be located; (3) is made available to the Chief of Licensing for assistance in determining the propriety of the release of blocked property; (4) is made available to the Legal Section in connection with questions regarding the disposition of blocked property requiring a legal opinion; (5) is made available to the Acting Director in connection with questions regarding the property reported under the 1950 census; (6) is made available to the original holder or custodian of blocked Chinese property or his successor in interest to aid in preparation of the 1970 census report; (7) is made available to the legal representatives of persons listed in (1) to aid in preparation of the 1970 census report; (8) for additional routine uses see Appendix AA.

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

Storage: Reports and correspondence files.

Retrievability: Reports are indexed by name of holder or custodian of blocked property, by name of individual for whom blocked accounts are maintained, and by report number. Files are indexed by name of holder or custodian of blocked property or by name of individual.

Safeguards: The FAC 1950 Census of Blocked Chinese Assets records consist of documents in folders and a computer print out. Some of these files are stored in file cabinets secured by approved detachable combination locks. The room where these records are stored is manned by FAC personnel who are instructed not to admit unauthorized persons, nor to release any material from these records to persons other than FAC personnel. During off duty hours this room is locked and safeguarded by appropriate security measures. The remainder of these files are stored in a supply room which is always locked except when in use by FAC personnel.

Retention and disposal: None have been destroyed.

System manager(s) and address: Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220.

Notification procedure: Requests by an individual for notification as to whether FAC 1950 Census of Blocked Chinese Assets records contain information relating to him should be—(a) Mailed: Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220. (b) Presented in person: Office of Foreign Assets Control, 1331 G. Street N.W., Room 500, Washington, D.C.

Record access procedures: Requests for information on gaining access to or contesting of information contained in Foreign Assets Control 1950 Census of Blocked Chinese Assets records should be mailed to: Director, Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Custodians or other holders of blocked Chinese assets.

Treasury/OS 00.112

System name: FAC 1970 Census of Blocked Chinese Assets—Treasury/OS.

System location: 1331 G. Street N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Most of these records contain reports and correspondence regarding blocked accounts of persons or firms who are nationals of the Peoples Republic of China. However, there is a small class of cases where reports were received regarding the assets of an individual subject to U.S. jurisdiction when such individual is the trustee of a Chinese national, Administrator or Executor of the estate of a Chinese national, heir of the estate of a Chinese national, etc. Most of the persons filing these reports were American corporations. However, a small number of reporters were American individuals.

The principal category are Foreign nationals, namely Chinese who had interests in property in the U.S. on December 18, 1950, and on July 1, 1970. Also included are individuals in the U.S. who had been in China on or since December 17, 1950, or who had acted for or on behalf of the government of the Peoples Republic of China, or who had on either date an interest in property in which there was also an interest of a Chinese national on or since December 17, 1950, for example, trusts and estates, joint accounts and partnerships.

Categories of records in the system: (1) Reports containing a brief description including location and value, of assets in the U.S. on December 18, 1950, or on July 1, 1970, in which, on either date,

China or a Chinese "national" (as defined in the Regulations) had any interest. (2) Correspondence regarding such reports. (3) A computer print-out summarizing the information contained in the reports.

Authority for maintenance of the system: Section 5(b) of the Trading with the Enemy Act (50 U.S.C. App., Section 5(b)); Section 500.610 of the Foreign Assets Control Regulations (31 CFR 500.610).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system of records: (1) is made available to the Director, Chief of Licensing, Chief of Enforcement, and the Legal Section for assistance with problems requiring their advice and expertise. (2) is made available to the Chief of Licensing in connection with applications to unblock property of Chinese nationals. (3) is used for statistical purposes. (4) for additional routine uses see Appendix AA.

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

Storage: Files and index cards.

Retrievability: Files and index cards indexed by name of holder or custodian of property with I.D. number and by name of individual for whom blocked accounts are held with I.D. number.

Safeguards: The Foreign Assets Control 1970 Census of Blocked Chinese Assets records consist of documents in folders and a bound computer print out which are stored in file cabinets secured by approved detachable combination locks. The room where these records are stored is manned by FAC personnel who are instructed not to admit unauthorized persons, nor to release any material from these records to persons other than FAC personnel. During off duty hours this room is locked and safeguarded by appropriate security measures.

Retention and disposal: None have been destroyed.

System manager(s) and address: Director, Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220.

Notification procedure: Requests by an individual for notification as to whether FAC 1970 Census of Blocked Chinese Assets records contain information relating to him should be (a) Mailed: Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220. (b) Presented in person: Office of Foreign Assets Control, 1331 G. Street, N.W., Room 500, Washington, D.C.

Record access procedures: Requests for information on gaining access to or contesting of information contained in Foreign Assets Control 1970 Census of Blocked Chinese Assets records should be mailed to: Director, Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Custodians or other holders of blocked Chinese assets.

Treasury/OS 00.113

System name: FAC 1964 Census of Blocked Cuban Assets—Treasury/OS

System location: Federal Record Center, Suitland, Maryland

Categories of individuals covered by the system: Most of these records contain reports and correspondence regarding blocked accounts of persons or firms who are nationals of Cuba. However, there is a small class of cases where reports were received regarding the assets of an individual subject to U.S. jurisdiction when such individual is the trustee of a Cuban national, Administrator or Executor of the estate of a Cuban national, heir of the estate of a Cuban national, etc. Most of the persons filing these reports were American corporations. However, a small number of reporters were American individuals.

The principal category is residents of Cuba, who had an interest in property in the U.S. on July 8, 1963. This category would also include (a) U.S. citizens who left Cuba after July 8, 1963, and (b) non-U.S. citizens who left Cuba after 1963 and became U.S. citizens or permanent alien residents of the U.S. In addition, this system includes individuals in the U.S. who had acted for or on behalf of the government of Cuba, or individuals who had an interest in property in which there was also an interest of a Cuban national on or since July 8, 1963, for example, trusts and estates, joint accounts and partnerships.

Categories of records in the system: (1) Reports containing a brief description, including location and value of assets in the U.S. on

July 8, 1963, in which Cuba or a Cuban "national" (as defined in the Regulations) had any interest. (2) Correspondence regarding such reports. (3) A computer print out summarizing the information contained in the reports.

Authority for maintenance of the system: Section 5(b) of the Trading with the Enemy Act (50 USC, App., Section 5(b)). Section 620(a) of the Foreign Assistance Act of 1961 (22 USC Section 2370(a)). Cuban Assets Control Regulations 31 CFR Part 515.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information in this system of records may be used in connection with a future census of blocked Cuban assets. This census would be undertaken as part of a vesting and claims program to compensate Americans who had property nationalized or expropriated by the Cuban government. The uses may be as follows: (1) by staff to determine persons to whom specific correspondence should be addressed advising them of the census requirements; (2) by staff to verify the accuracy of reports submitted under a new census; (3) by the Chief of Enforcement, in connection with determining the present whereabouts of holders or custodians who cannot be located; (4) by the Chief of Licensing for assistance in determining the propriety of the release of blocked property; (5) by the Legal Section in connection with questions regarding the disposition of blocked property requiring a legal opinion; (6) by the Director in connection with questions regarding the property reported under the 1964 census; (7) may be made available to the original holder or custodian of blocked Cuban property or his successor in interest to aid in preparation of a new census report; (8) may be available to the legal representatives of persons listed in (7) to aid in preparation of a new census report.

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

Storage: Reports and correspondence.

Retrievability: All of these records are located at the Federal Record Center, Suitland, Maryland. They are retrievable by name of individual.

Safeguards: GSA.

Retention and disposal: None have been destroyed.

System manager(s) and address: Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220.

Notification procedure: Requests by an individual for notification as to whether FAC 1964 Census of Blocked Cuban Assets records contain information relating to him should be (a) Mailed: Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220. (b) Presented in person: Office of Foreign Assets Control, 1331 G Street, NW, Room 500, Washington, D.C.

Record access procedures: Requests for information on gaining access to or contesting of information contained in Foreign Assets Control 1964 Census of blocked Cuban Assets records should be mailed to: Director, Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Custodians or other holders of blocked Cuban property.

Treasury/OS 00.114

System name: Foreign Assets Control Enforcement Records—Treasury/OS

System location: 1331 G Street, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Individuals who have engaged in unlicensed financial, commercial or other transactions which are prohibited under regulations administered by the Office of Foreign Assets Control. Individuals who have made any unlicensed importation of prohibited merchandise from a foreign country which is a "designated country" under regulations administered by the Office of Foreign Assets Control. Individuals who have made an unlicensed remittance of funds or exportation of goods to a "designated country" or national thereof, or to a "specially designated national." Individuals who have otherwise violated any Treasury ruling, license or regulation issued under or pursuant to the Trading with the Enemy Act or the United Nations Participation Act. Individuals suspected of having engaged in activities or transactions which violated statutes or regulations administered by the controls. Individuals who have applied for Foreign Assets Control Licensing when there is reason to suspect the truth of statements contained in an individual's application. Individuals who have or are suspected of misuse or misappropriation of blocked property.

Categories of records in the system: Reports of investigations of suspected or actual violations by an individual of relevant statute and regulations administered by the Office of Foreign Assets Control; intelligence reports requested from other official sources regarding suspected or actual criminal or civil violations by an individual of the relevant statutes, or of the regulations administered by the Office of Foreign Assets Control; evidence obtained during investigation of suspected or actual violations by an individual of the relevant statutes and regulations administered by the Office of Foreign Assets Control.

Authority for maintenance of the system: Statutory: Section 5(b) of the Trading with the Enemy Act (50 USC, App. Section 5(b)); Section 5 of the United Nations Participation Act (22 USC Section 287(c)); Foreign Assistance Act of 1961, (22 USC Section 2370 (a)). Executive Orders: E.O. 9193; E.O. 11322; E.O. 11419; Proc. 3447. Regulations: Foreign Assets Control Regulations (31 CFR, Sections 500.601 and 500.602), Cuban Assets Control Regulations (31 CFR, Sections 515.601 and 515.602), Rhodesian Sanctions Control Regulations (31 CFR Sections 530.601 and 530.602).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Used as a source of reference in other FAC enforcement investigations. (2) As a source of information in consideration of applications for Foreign Assets Control specific licenses. (3) Referral of information to the Department of Justice in civil or criminal cases involving the individual. (4) Disclosure to U.S. Customs Service, Internal Revenue Service or Department of Commerce (Office of Export Administration), of information concerning possible violations of laws and/or regulations of such agencies. (5) Notice to the United States Customs Service (a) of importers who have made illegal commercial importations of prohibited publications, and, (b) of persons who are authorized to make commercial importations of prohibited publications (under regulations administered by the Office of Foreign Assets Control). (6) for additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: The Foreign Assets Control Enforcement Records consist of documents, etc., in folders which are stored in locked file cabinets in secure file rooms. Enforcement records are retrieved by means of card-index file system containing the names of persons (individuals, corporations, etc.). The file rooms are manned by Foreign Assets Control personnel who are instructed not to admit unauthorized persons into the file areas, nor to release any material from the enforcement records to persons other than Foreign Assets Control personnel. During off duty hours the file rooms are secured by appropriate electronic protective devices. These Enforcement Records are maintained indefinitely, for so long as the assets and transactions involved are subject to regulation.

System manager(s) and address: Director, Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C.

Notification procedure: Proposed exempt system.

Record access procedures: Proposed exempt system.

Contesting record procedures: Proposed exempt system.

Record source categories: Proposed exempt system.

Systems exempted from certain provisions of the act: System proposed to be exempt elsewhere in Federal Register.

Treasury/OS 00.115

System name: Foreign Assets Control General Correspondence Files—Treasury/OS.

System location: 1331 G Street, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Records are maintained of all correspondence from individuals seeking information from the Office of Foreign Assets Control regarding embargoed or blocked foreign countries (and assets and nationals thereof), which are affected by implementing Treasury Department Regulations. Current regulations, and corresponding blocked or embargoed countries, are: Foreign Assets Control Regulations (China, Vietnam, and North Korea); Cuban Assets Control Regulations (Cuba); and the Rhodesian Sanctions Regulations (Rhodesia). Records are also maintained of letters to individuals initiated by the Foreign Assets Control.

Categories of records in the system: General correspondence of every kind, e.g.: individuals seeking information about FAC regulations re some particular country; requests for advice on proposed or possible transaction involving a designated country or a national thereof; letters reporting possible violation of some FAC ad-

ministered regulation; requests from law students and other researchers; requests for copies of regulations administered by FAC; requests for information regarding possible employment opportunities with the Office of Foreign Assets Control.

Authority for maintenance of the system: Statutory: Section 5(b) of the Trading with the Enemy Act (50 USC, App. Section 5(b)), Section 5 of the United Nations Participation Act (22 USC Section 287 c), Section 620 (a) of the Foreign Assistance Act of 1961 (22 USC Section 2370 (a)). Executive Orders: E.O. 9193; E.O. 9989; E.O. 11322; E.O. 11419; Proc. 3447. Regulations: Foreign Assets Control Regulations 31 CFR Part 500, Cuban Assets Control Regulations 31 CFR Part 515, Rhodesian Sanctions Regulations 31 CFR Part 530; Transaction Control Regulations 31 CFR Part 505; Foreign Funds Control Regulations 31 CFR Part 520.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (A) Intra-Agency—Used by the staff to effectuate the purposes of the Regulations which it is charged with administering: (1) Used by the Enforcement Section as background information in connection with investigations. (2) Used by the Licensing Section as background information in connection with the processing of license applications submitted by the individual. (3) Used by the Legal Section as background information in connection with preparation of briefs, etc. (4) Used by all staff as background information in connection with subsequent inquiries from an individual. (5) Used in connection with the formulation of or as examples of policy followed by the office. (6) Used by all staff to initiate correspondence with third parties mentioned in an individual letter regarding potential or apparent violations of the regulations. (7) Used by all staff to prepare statistics useful in implementing the Regulations. (8) Used by all staff to compile mailing lists for use by Foreign Assets Control to advise individuals interested in a particular aspect of the Regulations of changes relating to these aspects. (9) Used to detect an interest in a particular aspect of the Regulations which necessitate the publication of amendments to the Regulations regarding interpretations of the Regulations. (B) Inter-Agency: (1) Referred to the Department of State, Department of Commerce, Internal Revenue Service, Foreign Claims Settlement Commission, (and other agencies) where the individuals inquiry concerns matters under the jurisdiction of such agencies as well as under the jurisdiction of the Office of Foreign Assets Control. (2) Referred to the Department of Justice, where it appears likely that a crime or civil offense was committed. (3) Referred to other agencies where it appears that an individual has violated the laws, statutes or regulations of such agency. (C) For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: The Foreign Assets Control General Correspondence Records consist of documents in folders which are stored in file cabinets secured by approved detachable combination locks. General Correspondence records are retrieved by means of card-index file system containing the names of persons (individuals, corporations, etc.). The file rooms are manned by FAC personnel who are instructed not to admit unauthorized persons into the file-areas, nor to release any material from the enforcement record to persons other than FAC personnel. During off-duty hours, the file rooms are safeguarded by appropriate electronic protective devices. The General Correspondence records are maintained indefinitely for so long as the assets or transactions involved are subject to regulation.

System manager(s) and address: Director, Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220.

Notification procedure: Requests by an individual for notification as to whether FAC Licensing Records contain information relating to him should be (a) mailed: Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220. (b) presented in person: Office of Foreign Assets Control, 1331 G Street, N.W., Room 504, Washington, D.C. 20220.

Record access procedures: Requests for information on gaining access to or contesting information contained in FAC Licensing Records, should be mailed to: Director, Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Individuals who initiated correspondence with Treasury Department's Office of Foreign Assets Control or who responded to correspondence from the Office of Foreign Assets Control; other governmental agencies (Federal, State and Local); foreign individuals and official sources.

Treasury/OS 00.116

System name: Foreign Assets Control Litigation files—Treasury/OS
System location: 1331 G Street, N.W., Room 504, Washington, D.C. 20220.

Categories of individuals covered by the system: Individuals who have been criminally prosecuted, or involved in civil litigation (as plaintiff or defendant) with the United States, in matters which involve statutes and/or regulations which are administered by the Office of Foreign Assets Control (e.g.: criminal prosecution for violation of statutes and regulations; suits to enjoin the Office of Foreign Assets Control from holding bank accounts or other property in a blocked status; suits to compel the Office of Foreign Assets Control to issue licenses for import of merchandise from a designated country; suits seeking to have statutes and regulations administered by Foreign Assets Control held unconstitutional, in fact or as applied; etc.).

Categories of records in the system: Copies of the pleading and all other legal documents connected with civil litigation and criminal proceedings involving statutes and regulations administered by the Office of Foreign Assets Control, including memoranda of law, drafts of legal briefs, and other material prepared by the FAC legal staff for use in such litigation; material obtained pursuant to discovery under applicable court rules (depositions, written interrogatories, etc.); copies of final orders, decrees, and opinions of courts in such litigation, and copies of correspondence relating to activities of any party to such litigation (containing information relevant to the issues involved in the litigation).

Authority for maintenance of the system: Statutes: Section 5(b) of the Trading with the Enemy Act, (50 USC, App. Section 5(b)); Section 5 of the United Nations Participation Act, (22 USC, Section 287c); Section 620 (a) of the Foreign Assistance Act of 1961, (22 USC 2370 (a)). Executive Orders: E.O. 9193; E.O. 9989; E.O. 11322; E.O. 11419; Proc. 3447. Regulations: Foreign Funds Control Regulations (31 CFR, Part 520), Foreign Assets Control Regulations (31 CFR, Part 500), Cuban Assets Control Regulations (31 CFR, Part 515), Rhodesian Sanctions Regulations (31 CFR, Part 530), Transactions Control Regulations (31 CFR, Part 505).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Preparation and conduct of litigation in process by the Justice Department. (2) Research source for the FAC Enforcement section. (3) Source of information for the FAC Licensing section in consideration of applications for FAC license. (4) Source of legal precedents and for other legal research by the FAC Legal section. (5) Referral to Department of Justice in cases involving Statutes and Regulations administered by the Office of Foreign Assets Control. (6) Disclosure to U.S. Customs Service in cases which jointly involve similar matters, or which involve, jointly, both the FAC and the U.S. Customs Service. (7) Disclosure to the State Department in connection with foreign policy aspects of legal problems involved. (8) Disclosure to U.S. Department of Commerce where cases involve matters of interest to, or which are in the jurisdiction of that Department. (9) For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: The Foreign Assets Control Litigation records consist of documents in folders which are stored in file cabinets secured by approved detachable combination locks. The files are retrieved by name of the individual. During normal working hours, the room where these records are kept is manned by persons who are instructed not to allow unauthorized persons into the file area, nor to disclose or release any material to persons other than FAC personnel. During off-duty hours, the room in which the records are kept is safe-guarded by appropriate electronic protective devices. The Litigation records are maintained indefinitely as research source and legal precedent.

System manager(s) and address: Director, Office of Foreign Assets Control, 1331 G Street, N.W., U.S. Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Requests by an individual for notification as to whether FAC Litigation Records contain information relating to him should be: (a) mailed: Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220. (b) presented in person: Office of Foreign Assets Control, 1331 G Street, N.W., Room 504, Washington, D.C. 20220.

Record access procedures: Requests for information on gaining access to or contesting information contained in FAC Litigation Records should be mailed to: Director, Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: PLEADINGS AND OTHER MATERIALS FILED DURING COURSE OF A LEGAL PROCEEDING; DISCOVERY OBTAINED PURSUANT TO APPLICABLE COURT RULES; Materials obtained from FAC Enforcement Section; material obtained pursuant to request made on other Federal agencies; Orders, opinions, decisions of courts.

Treasury/OS 00.117

System name: Foreign Assets Control Mailing List—Treasury/OS

System location: 1331 G Street, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Individuals who have asked to be advised of any amendments, announcements, etc., pertaining to the Regulations administered by this Office.

Categories of records in the system: Index cards and addressograph plates containing names and addresses of all persons to whom information regarding the Regulations is sent.

Authority for maintenance of the system: Statutory: Section 5(b) of the Trading with the Enemy Act (50 USC, App., Section 5(b)). Section 5 of the United Nations Participation Act (22 USC Section 287c). Section 620(a) of the Foreign Assistance Act of 1961 (22 USC Section 2370(a)). Executive Orders: Executive Order 9193; Executive Order 9989; Executive Order 11322; Executive Order 11419; Proc. 3447. Regulations: Foreign Assets Control Regulations, 31 CFR Part 500; Cuban Assets Control Regulations, 31 CFR Part 515; Rhodesian Sanctions Regulations, 31 CFR Part 530; Transaction Control Regulations, 31 CFR Part 505; Foreign Funds Control Regulations, 31 CFR Part 520.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Information in this system of records is used by FAC to enable the Government Printing Office to send out information regarding our Regulations to all interested parties. (2) For additional routine uses see appendix AA.

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

Storage: Index cards and addressograph plates.

Retrievability: Indexed by name of individual or corporation.

Safeguards: The FAC mailing list records consist of index cards filed in index card boxes. The room where these records are stored is manned by FAC personnel who are instructed not to admit unauthorized persons, nor to release any material from these records to persons other than FAC personnel. During off duty hours this room is locked and safe-guarded by appropriate security measures.

System manager(s) and address: Director, Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220.

Notification procedure: Requests by an individual for notification as to whether Foreign Assets Control mailing list contains information relating to him should be—(a) mailed: Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220. (b) presented in person: Office of Foreign Assets Control, 1331 G Street, N.W., Room 500, Washington, D.C. 20220.

Record access procedures: Requests for information on gaining access to or contesting information contained in the Foreign Assets Control Mailing List should be mailed to—Director, Office of FAC, U.S. Treasury Department, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: See Category of Individual.

Treasury/OS 00.118

System name: Foreign Assets Control Licensing Records—Treasury/OS

System location: 1331 G Street, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Applicants for license to import prohibited goods from countries designated in Regulations administered by Office of Foreign Assets Control. Applicants for license to remit funds to countries designated in Regulations of the Office of Foreign Assets Control. Applicants for license authorizing engagement in other transactions and activities which are prohibited by Regulations of the Office of Foreign Assets Control.

Categories of records in the system: Applications for Treasury license; information in support of applications submitted by applicant; information from other sources regarding such applications; copies of agency action granting or denying applications; requests for amendment of license; requests for rehearing or appeal of denial actions; other information related to any of the foregoing.

Authority for maintenance of the system: Statutes: Section 5(b) of the Trading with the Enemy Act (50 USC, App., Section 5(b)). Section 5 of the United Nations Participation Act (22 USC 287 (1)(c)(1)). Section 620 (a) of the Foreign Assistance Act of 1961 (22 USC 2370 (a)). Executive Orders: E.O. 9193; E.O. 9989; E.O. 11322; E.O. 11419; Proc. 3447. Regulations: Foreign Assets Control Regulations 31 CFR, Part 500; Transaction Control Regulations 31 CFR, Part 505; Cuban Assets Control Regulations 31 CFR, Part 515; Foreign Funds Control Regulations 31 CFR, Part 520; Rhodesian Sanctions Regulations 31 CFR, Part 530.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Furnishing of information to the FAC Enforcement Section where it appears that some willful violation of Treasury regulation or requirement may have occurred. (2) Comparison with subsequent application from same applicant. (3) Consultation with State, Commerce and Defense, as appropriate concerning applicable policy and relevant facts. (4) Furnishing information to the U.S. Customs Service where it appears that a Customs requirement or regulation has not been complied with. (5) Furnishing information to Internal Revenue Service where it appears that a matter within the jurisdiction of that agency is involved. (6) Furnishing of information to the Department of Commerce where it appears that a requirement or regulation of that agency is involved. (7) Notice to the U.S. Customs Service (a) of importers who have made illegal importations or prohibited publications, and (b) of persons who are authorized to make commercial importations of prohibited publications (under regulations administered by the Office of Foreign Assets Control). (8) Furnishing of report to Justice Department where it appears that some civil or criminal violation by applicant of a Treasury regulation or other requirement has occurred. (9) For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: The Foreign Assets Control Licensing records consist of documents in folders which are stored in file cabinets. Each such file cabinet is outfitted with a detachable combination lock. The records are retrieved by license numbers, and may also be obtained by means of a card-index file. During normal working hours, the file room is manned by persons who are instructed not to allow unauthorized persons into the file area, nor to disclose or release any material to persons other than FAC personnel. During off-duty hours, the file rooms are safe-guarded by appropriate electronic protective devices. The FAC licensing records are maintained indefinitely for so long as the assets or transactions involved are subject to regulations.

System manager(s) and address: Director, Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220.

Notification procedure: Requests by an individual for notification as to whether the FAC Licensing Records contain information relating to him should be—(a) mailed: Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220. (b) presented in person: Office of Foreign Assets Control, 1331 G Street, N.W., Room 504, Washington, D.C. 20220.

Record access procedures: Requests for information on gaining access to or contesting information contained in FAC Licensing Records, should be mailed to—Director, Office of Foreign Assets Control, U.S. Treasury Department, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: The majority of information concerning an individual applicant in a FAC License Record will typically have come from the applicant. On infrequent occasions some such information will have been obtained from other governmental agencies; or, during the course of an investigation by the FAC Enforcement Section.

Treasury/OS 00.120

System name: Chief Counsel: Revenue Sharing Personnel—Treasury/OS

System location: Chief Counsel for Revenue Sharing, 2401 "E" St., N.W., Room 1545, Washington, D.C. 20226.

Categories of individuals covered by the system: Personnel employed by the Chief Counsel for Revenue Sharing.

Categories of records in the system: Employee copies of personnel records.

Authority for maintenance of the system: The records are copies of the employee records kept for their convenience. For additional routine uses see appendix AA.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The records are employee copies of official Treasury Department personnel actions. They are referred to by the employee for convenience concerning personnel matters affecting him or her. Personnel may take their own records with them when they terminate their employment with the Chief Counsel's Office. The file is maintained for the convenience of the employee who wishes to maintain official Treasury Department personnel actions in a convenient location. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: By name of individual.

Safeguards: The records may only be reviewed by the employees of the Chief Counsel's Office.

Retention and disposal: The records are maintained only while the individual is employed with the Chief Counsel's Office.

System manager(s) and address: Chief Counsel for Revenue Sharing, 2401 "E" St., N.W., Room 1545, Washington, D.C. 20226.

Notification procedure: Chief Counsel for Revenue Sharing, 2401 "E" St., N.W., Room 1545, Washington, D.C. 20226.

Record access procedures: Write the Chief Counsel for Revenue Sharing at the following address: Chief Counsel for Revenue Sharing, 2401 "E" St., N.W., Room 1545, Washington, D.C. 20226.

Contesting record procedures: See Access above.

Record source categories: Official Treasury Department Personnel Records.

Treasury/OS 00.121

System name: ORS Auditors' Address File—Treasury/OS

System location: Office of Computer Science, Department of the Treasury, 1435 G Street, N.W., Washington, D.C.

Categories of individuals covered by the system: All State Auditors

Categories of records in the system: Mailing Addresses & Phone Numbers.

Authority for maintenance of the system: PL 92-512 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Address File & Telephone Index. For additional routine uses see appendix AA.

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

Storage: Magnetic Tape.

Retrievability: Indexed by state code & unique numeric suffix.

Safeguards: Secured computer room.

Retention and disposal: Maintained until file is updated by the Compliance Division, Office of Revenue Sharing.

System manager(s) and address: Administrative Officer, Office of Revenue Sharing, 2401 E Street, N.W., Washington, D.C. 20226.

Notification procedure: Office of Revenue Sharing, 2401 E Street N.W., Washington D.C. 20226.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: State audit address lists.

Treasury/OS 00.122

System name: ORS Compliance Division Employee File—Treasury/OS

System location: Room 1456, Columbia Plaza Highrise, 2401 "E" Street, N.W., Washington, D.C. 20226.

Categories of individuals covered by the system: Employees, Compliance Division.

Categories of records in the system: Employee evaluation records.

Authority for maintenance of the system: Records to furnish Manager of Compliance Division with information relating to employee performance. 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To evaluate employees for promotion and training. For additional routine use, see appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: (a) Maintained in locked file cabinet. (b) Records filed in alphabetical sequence. (c) Records are maintained indefinitely.

System manager(s) and address: Compliance Manager: ORS, 2401 "E" Street, N.W., Washington, D.C. 20226.

Notification procedure: Compliance Manager, Office of Revenue Sharing, 2401 "E" Street, N.W., Washington, D.C. 20226.

Record access procedures: Written request to Systems Manager.

Contesting record procedures: Written request to Systems Manager.

Record source categories: Discussion with personnel in the Compliance Division and review of specific assignments.

Treasury/OS 00.123

System name: ORS Contractors File—Treasury/OS

System location: 2401 "E" Street, N.W., Washington, D.C. 20226.

Categories of individuals covered by the system: Contractors offering services.

Categories of records in the system: File containing individual contracts maintained in alphabetical sequence. Contents include: contract request, justification, source recommended, sole source when applicable, experience, references, bid for services.

Authority for maintenance of the system: For Administrative Officer in providing necessary services and Budget Analysis for payment of accounts. 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For Manager in checking services required. For Administrative Officer in securing contract. For Budget Analysis in payment for services. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: (1) Records maintained in locked file cabinet. (2) Records filed in alphabetical sequence. (3) Director's office, Managers and persons assigned to project may review file along with Contract Officers from Administrative Services, Main Treasury.

System manager(s) and address: Administrative Officer: ORS, 2401 "E" Street, N.W., Washington, D.C. 20226.

Notification procedure: Office of Revenue Sharing, 2401 "E" Street, N.W., Washington, D.C. 20226.

Record access procedures: Written request mailed to: Administrative Officer, 2401 "E" Street, N.W. Room 1564, Washington, D.C. 20226.

Contesting record procedures: See Access above.

Record source categories: Information came from consultants giving services, contract officer for agreement, budget analysis for approval of funds and payment upon approved completion of the contract.

Treasury/OS 00.124

System name: ORS Governors' Address File—Treasury/OS

System location: Systems & Operations Division, Office of Revenue Sharing, 2401 E Street, NW, Washington, DC 20226.

Categories of individuals covered by the system: All current governors.

Categories of records in the system: Mailing Addresses.

Authority for maintenance of the system: PL 92-512. 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Address File. For additional routine uses see appendix AA.

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

Storage: MCST Magnetic Cards.

Retrievability: Indexed by state code.

Safeguards: Secured computer room.

Retention and disposal: Maintained until file is updated.

System manager(s) and address: Administrative Officer, Office of Revenue Sharing, 2401 E Street N.W., Washington, D.C. 20226.

Notification procedure: Office of Revenue Sharing, 2401 E Street, NW, Washington, DC 20226.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: Congressional Directory, State submissions.

Treasury/OS 00.125

System name: ORS Governors & Governors Authorized Representatives List—Treasury/OS.

System location: Systems & Operations Division, Office of Revenue Sharing, 2401 E Street, NW, Washington, DC 20226.

Categories of individuals covered by the system: All current governors & their authorized representatives.

Categories of records in the system: Individual Names & Addresses.

Authority for maintenance of the system: PL 92-512, 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Address File, for additional routine uses see Appendix AA.

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

Storage: Notebook (Hardcopy).

Retrievability: Indexed by State name.

Safeguards: Secured computer room.

Retention and disposal: Maintained until file is updated.

System manager(s) and address: Administrative Officer, Office of Revenue Sharing, 2401 E Street NW, Washington, DC 20226.

Notification procedure: Office of Revenue Sharing, 2401 E Street, NW, Washington, DC 20226.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: State official and address files.

Treasury/OS 00.126

System name: Office of Revenue Sharing, Intergovernmental Relations Division mailing list—Treasury/OS.

System location: Office of Revenue Sharing, 2401 E Street, N.W., Rm. 1407, Washington, D.C. 20226.

Categories of individuals covered by the system: Not all entries on the mailing list are by name of individual; many entries are identified only by agency or organization name. Names of individuals or organizations on the reveNews mailing list were placed there by personal request, designation of the State Governor or by the screening of mailing lists of local officials of national public interest groups.

Categories of records in the system: The system identifies name and address only and is arranged in such a way as to be sorted and retrieved by State. The system is further broken down into a sub-list of frequent liaison contracts which can be retrieved separately.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The reveNews mailing list is used to distribute copies of reveNews, the Office of Revenue Sharing newsletter. It also is used to mail program and technical assistance materials to service agencies of State and local government and to distribute ORS publications. For additional routine uses see Appendix AA.

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

Storage: The system is stored on mag. tape.

Retrievability: The system is indexed by nine digit I.D. number; the first two digits represent the State of the address and are the only parts of the I.D. which are used for retrieving address information.

Safeguards: System listings can be authorized only by written request to the Systems and Operations Division, ORS.

Retention and disposal: The records are retained indefinitely; individual records can be amended or deleted at any time. Coding sheets for address changes and deletions are forwarded periodically to the Systems and Operations Division, ORS.

System manager(s) and address: Administrative Officer: ORS, Office of Revenue Sharing, 2401 E Street, N.W., Washington, D.C. 20226.

Notification procedure: Office of Revenue Sharing, 2401 E Street, N.W., Washington, D.C. 20226, Room 1564.

Record access procedures: Written request to System Manager.

Contesting record procedures: Written request to System Manager.

Record source categories: See Category of Individual.

Treasury/OS 00.127

System name: ORS Leave Records—Treasury/OS

System location: Office of Revenue Sharing, 2401 "E" Street, N.W., Washington, D.C. 20226.

Categories of individuals covered by the system: All ORS employees.

Categories of records in the system: Maintenance of time and attendance on all types of leave earned and used by employees. Correspondence pertaining to action on employees leave. Leave transcripts on employees transferring to ORS from other government agencies.

Authority for maintenance of the system: Office of the Secretary—Timekeepers' Handbook.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Time and attendance cards are the basis for the pay check and are submitted to Main Treasury Payroll Office every two weeks. Leave transcripts (SF 1150) are recorded to the employees record when received at ORS. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: These records are maintained in alphabetical order and are retrievable by the employees last name.

Safeguards: Locked safe file cabinet.

Retention and disposal: T & A cards are maintained at ORS until such time as Main Treasury Payroll Office requests the records be turned in.

System manager(s) and address: Administrator Officer, 2401 "E" Street, N.W., Washington, D.C. 20226.

Notification procedure: Office of Revenue Sharing, 2401 "E" Street, N.W., Washington, D.C. 20226.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: Personnel Office, Main Treasury.

Treasury/OS 00.128

System name: ORS Personnel Records—Treasury/OS

System location: 2401 "E" Street, N.W., Washington, D.C. 20226.

Categories of individuals covered by the system: Employees.

Categories of records in the system: A current employees file, in alphabetical sequence, is maintained which includes: application, certification and appointment, promotional appraisals, performance appraisals, corrective action, absence and leave, training and development programs, recognition for outstanding performance.

A former employee's file, in alphabetical sequence, is maintained for six months at which time all material is sent to official file in Office of the Secretary, Main Treasury.

A recruitment file, in alphabetical sequence, is maintained for one year. Applicants submit forms and resumes for consideration.

Authority for maintenance of the system: Personnel records kept to furnish Office of the Secretary Personnel, Main Treasury, status and development of employees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For Managers and individual employees use in checking personnel records. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: (1) Records maintained in locked file cabinet. (2) Records filed in alphabetical sequence. (3) Records maintained in locked file cabinet. Managers may request the files of their employees for review and approval. Individual employees may request files for update or review. Any other requests for personnel information is handled by Office of the Secretary Personnel Division at Main Treasury.

System manager(s) and address: Administrative Officer: ORS, 2401 "E" Street, N.W.—Room 1564, Washington, D.C. 20226.

Notification procedure: Same as above.

Record access procedures: Written request mailed to: Administrative Officer: ORS, 2401 "E" Street, N.W.—Room 1564, Washington, D.C. 20226.

Contesting record procedures: See Access above.

Record source categories: Information came from individual employees, supervisors, Personnel, Main Treasury.

Treasury/OS 00.129

System name: ORS Public Affairs Personnel file—Treasury/ORS

System location: Office of Revenue Sharing, 2401 E Street, N.W., Washington, D.C. 20226.

Categories of individuals covered by the system: Personnel, Public Affairs Division.

Categories of records in the system: Miscellaneous information relating to history of employee's activity at ORS.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Public Affairs staff maintain these files for their convenience. No access is provided to others. For additional routine uses see Appendix AA.

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

Storage: File folders in drawers.

Retrievability: Indexed by name and file number.

Safeguards: No confidential information is kept in these files.

Retention and disposal: Records are maintained until employees discard them.

System manager(s) and address: Administrative Officer, Office of Revenue Sharing, 2401 E Street, N.W., Washington, D.C. 20226.

Notification procedure: Administrative Officer, 2401 E St., N.W., Washington, D.C. 20226.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: Memoranda from Treasury Personnel Office. Copies of form 171s and resumes prepared by Public Affairs personnel themselves. In-house memoranda, Miscellaneous correspondence.

Treasury/OS 00.130

System name: ORS Senate, House & Governors' Address File—Treasury/OS

System location: Office of Computer Science, Department of the Treasury, 1435 G Street, NW, Washington, DC.

Categories of individuals covered by the system: All current U.S. Senators, Congressmen, & Governors.

Categories of records in the system: Mailing Addresses.

Authority for maintenance of the system: PL 92-512, 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Address File. For additional routine uses see Appendix AA.

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

Storage: Magnetic Tape.

Retrievability: Indexed by state code & unique numeric suffix.

Safeguards: Secured computer room.

Retention and disposal: Maintained until file is updated by the Public Affairs Division, Office of Revenue Sharing.

System manager(s) and address: Administrative Officer, Office of Revenue Sharing, 2401 E Street N.W., Washington, D.C. 20226.

Notification procedure: Office of Revenue Sharing, 2401 E Street, NW, Washington, DC 20226.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: Congressional Directory, State submissions.

Treasury/OS 00.131

System name: ORS State Attorney Generals Records—Treasury/OS

System location: Office of Revenue Sharing, 2401 "E" Street, N.W., Washington, D.C. 20226.

Categories of individuals covered by the system: State Attorney Generals or Assistant Attorney Generals.

Categories of records in the system: Correspondence with State offices of Attorney Generals concerning State laws as they affect the expenditure of funds under the Revenue Sharing Act.

Authority for maintenance of the system: State and Local Fiscal Assistance Act of 1972 (P.L. 92-512), 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The records are used by the Chief Counsel for Revenue Sharing. They are used for determining the applicability and effect of State laws on the expenditure of funds under the Revenue Sharing Act. For additional routine uses see Appendix AA.

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

Storage: Filing cabinet.

Retrievability: The system is alphabetically indexed by name of State.

Safeguards: Locked file room.

Retention and disposal: Records are updated periodically.

System manager(s) and address: Chief Counsel for Revenue Sharing, 2401 "E" St., N.W., Room 1545, Washington, D.C. 20226.

Notification procedure: Chief Counsel for Revenue Sharing, 2401 "E" St., N.W. Room 1545, Washington, D.C. 20226.

Record access procedures: An individual may write to the following address: Chief Counsel for Revenue Sharing, 2401 "E" St., N.W. Room 1545, Washington, D.C. 20226.

Contesting record procedures: See Contest above.

Record source categories: Correspondence with State offices of Attorney Generals.

Treasury/OS 00.140

System name: Annual Performance Rating and Annual Performance Analysis—Treasury/OS

System location: Room 3006, Main Treasury Building, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Annual Performance Rating—Present and former employees of the Office of the General Counsel. Annual Performance Analysis—Present and former attorneys of the Legal Division.

Categories of records in the system: The information in this system takes the form of ratings and performance analyses prepared by the employee's supervisors.

Authority for maintenance of the system: In accordance with the Department of the Treasury Office of the General Counsel rules for promotion and Treasury Personnel Manual, Chapter 430, 8, D(1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by supervisory personnel in connection with promotions, wage increases, and review of employee's general work performance level. For additional routine uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: By year, name of employee, and bureau.

Safeguards: The files are kept in cabinets with an extremely limited number of employees permitted access (such as the General Counsel, Deputy General Counsel, Assistant General Counsels, or Chief Counsels).

Retention and disposal: The records are maintained for five years.

System manager(s) and address: Administrative Officer, Office of the General Counsel, Room 3006, Main Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Head of the office to which the employee is assigned.

Treasury/OS 00.141

System name: Attorney Books—Treasury/OS.

System location: Room 3006, Main Treasury Building, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Present attorneys of the Legal Division of the Treasury Department.

Categories of records in the system: The information in this system takes the form of brief personal and professional information on attorneys in the Legal Division. Includes date of birth, educational and professional data, and pay grade.

Authority for maintenance of the system: Title 5, U.S. Code. In accordance with the Department of the Treasury Office of the General Counsel rules for employment and promotion.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by General Counsel, Deputy General Counsel, and Administrative Officer for reference. For additional routine use see Appendix AA.

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

Storage: Desk copies for three officials.

Retrievability: By name of individual and bureau or organization.

Safeguards: Copies kept in the office of the official to whom assigned.

Retention and disposal: The records are maintained only while the attorney is employed by the Office of the General Counsel.

System manager(s) and address: Administrative Officer, Office of the General Counsel, Room 3006, Main Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Personnel records.

Treasury/OS 00.142

System name: Attorneys Past and Present—Treasury/OS.

System location: Room 3006, Main Treasury Building, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Present and former attorneys of the Office of the General Counsel.

Categories of records in the system: The information in this system consists of materials relating to the employee's application and employment with the Office of the General Counsel. It includes letters of recommendation, hiring recommendations, and other similar information concerning the employee.

Authority for maintenance of the system: Title 5, U.S. Code. In accordance with the Department of the Treasury Office of the General Counsel rules for promotion.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by supervisory personnel in connection with promotions, wage increases, and reviewing employee's general work performance level. With respect to former employees, information used for reference purposes.

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

Storage: File cabinets.

Retrievability: By name of individual.

Safeguards: The files are kept in cabinets with a limited number of employees permitted access.

Retention and disposal: The records contain information on all present attorney-employees of the General Counsel's Office and on former attorney-employees for the past two years.

System manager(s) and address: Administrative Officer, Office of the General Counsel, Room 3006, Main Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Individual on whom record is maintained, employee's supervisors, and applicant's interviewer.

Treasury/OS 00.143

System name: Chief Counsel for Revenue Sharing personnel—Treasury/OS.

System location: Chief Counsel for Revenue Sharing, 2401 "E" St., N.W., Room 1545, Washington, D.C. 20226.

Categories of individuals covered by the system: Personnel employed by the Chief Counsel for Revenue Sharing.

Categories of records in the system: The records are copies of the employee records kept for their convenience.

Authority for maintenance of the system: Employee copies of personnel records.

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

ployee copies of official Treasury Department personnel actions. They are referred to by the employee for convenience concerning personnel matters affecting him or her. Personnel may take their own records with them when they terminate their employment with the Chief Counsel's Office. The file is maintained for the convenience of the employee who wishes to maintain official Treasury Department personnel actions in a convenient location. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: By name of individual.

Safeguards: The records may only be reviewed by the employees of the Chief Counsel's Office.

Retention and disposal: The records are maintained only while the individual is employed with the Chief Counsel's Office.

System manager(s) and address: Administrative Officer, 1500 Pennsylvania Ave., N.W., Main Treasury, Room 3006, Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: Call or write the Chief Counsel for Revenue Sharing at the following address: Chief Counsel for Revenue Sharing, 2401 "E" St., N.W., Room 1545, Washington, D.C. 20226, Telephone—(202) 634-5182, 634-5183.

Contesting record procedures: See Access above.

Record source categories: Official Treasury Department Personnel Records—employee copies only.

Treasury/OS 00.144

System name: Civil Litigation Records—Treasury/OS.

System location: U.S. Treasury Department, Office of the General Counsel, 1500 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Persons who are parties, plaintiff or defendant, in civil litigation (as described below) with the Treasury Department.

Categories of records in the system: This system of records contains information or documents related to litigation involving or concerning the Department or its officials. The records consist of pleadings, investigative reports, legal memoranda and related correspondence.

Authority for maintenance of the system: Title 31, U.S.C., Section 1009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are used to prosecute or defend court cases related to certain general civil litigation. For additional routine uses see Appendix AA except for tax matters or matters litigated in the U.S. Customs Courts, and to provide cooperation to the U.S. Department of Justice in marshalling facts, correlating evidence, and preparing pleadings and briefs.

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

Storage: These records are maintained in file folders with index cards.

Retrievability: These records are indexed by the title of the case.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal: The records are maintained during the pendency of the litigation and approximately one year thereafter are transferred to the Federal Records Center, Suitland, Maryland. They are destroyed by the Federal Records Center when the records are 7 years old.

System manager(s) and address: Administrative Officer, Room 3006, U.S. Treasury Department, 1500 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Exempt system.

Record access procedures: Exempt system.

Contesting record procedures: Exempt system.

Record source categories: Exempt system.

Systems exempted from certain provisions of the act: System to be exempted elsewhere in the Federal Register.

Treasury/OS 00.145

System name: Claimants, Disbursing—Treasury/OS

System location: U.S. Treasury Department, Office of the General Counsel, 1500 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Claimants for Disbursements by the United States.

Categories of records in the system: Correspondence, memoranda, and related material.

Authority for maintenance of the system: 50 U.S.C. App. 1705-1707, Title 31, United States Code, Department Circulars No. 145 and 830.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To process disbursements in accordance with Departmental regulations. For additional routine uses see Appendix AA.

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

Storage: Legal file in file cabinet.

Retrievability: Name of claimant.

Safeguards: Files are in file room; access is limited to persons on official business.

Retention and disposal: Files kept for an indefinite period.

System manager(s) and address: Administrative Officer, Office of the General Counsel, U.S. Treasury Department, 1500 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: See System Manager.

Record access procedures: See System Manager.

Contesting record procedures: See System Manager.

Record source categories: Individuals and their representatives.

Treasury/OS 00.146

System name: Employee Inventions—Treasury/OS.

System location: U.S. Treasury Department, Office of the General Counsel, Opinion Section, 1500 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Employee-Inventors.

Categories of records in the system: Information relating to inventions of employees.

Authority for maintenance of the system: 5 U.S.C., Section 301, 31 CFR Part 7.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used in connection with Government and employee rights in employee inventions, disclosure to U.S. Patent Office. For additional routine uses see Appendix AA.

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

Storage: Legal file in file cabinet.

Retrievability: By name of inventor-employee.

Safeguards: File cabinet is in office of attorney, but unlocked.

Retention and disposal: Indefinite as precedent files.

System manager(s) and address: Administrative Officer, Office of the General Counsel, Treasury Department, 1500 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: See System Manager.

Record access procedures: See System Manager.

Contesting record procedures: See System Manager.

Record source categories: Employees involved.

Treasury/OS 00.147

System name: Employee Promotion Information—Treasury/OS.

System location: Room 2314, Main Treasury Building.

Categories of individuals covered by the system: Past and present employees of the Office of the Assistant General Counsel for International Affairs.

Categories of records in the system: The information in this system of records takes the form of recommendations for promotion of various past and present employees in the office.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Internal memoranda and accompanying forms circulated to Treasury Department officials

authorized to grant promotions. For additional routine uses see Appendix AA.

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

Storage: Typed memoranda and required personnel forms.

Retrievability: The file is labeled "Personnel" and contains separate memoranda designating the employee's name after the heading "subject".

Safeguards: The file is kept in a locked file cabinet. A limited number of employees retain the combination to the file.

Retention and disposal: The records date back to 1969, the time of the first promotion arising under the last Assistant General Counsel for International Affairs.

System manager(s) and address: Administrative Officer, Office of the General Counsel, Room 3006, Department of the Treasury, 1500 Pennsylvania Ave., N.W. Washington, D.C. 20020.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: These records take the form of memoranda drafted by the Assistant General Counsel for International Affairs, recommending various members of his staff for grade and/or step increases.

Treasury/OS 00.148

System name: Employment Applications—Treasury/OS.

System location: Room 3006, Main Treasury Building, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Applicants for employment as attorneys within the Office of the General Counsel.

Categories of records in the system: Contains original or copy of Standard Form 171, resume, and any correspondence between the applicant and the General Counsel, Deputy General Counsel and Administrative Officer.

Authority for maintenance of the system: In accordance with the Department of the Treasury Office of the General Counsel rules relating to employment.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used in making decisions on employment of attorneys by the Office of the General Counsel, responding to inquiries from members of Congress regarding constituents, and for reference purposes. For additional routine uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: By name of individual.

Safeguards: The files are kept in cabinets with a limited number of employees permitted access.

Retention and disposal: The records are maintained for a period of two years unless the applicant is subsequently employed by the Department. These latter records are transferred to the Treasury Department/OS; Attorneys Past and Present system.

System manager(s) and address: Administrative Officer, Office of the General Counsel, Room 3006, Main Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Individual on whom the record is maintained and other interested parties at the initiation of the individual concerned.

Treasury/OS 00.149

System name: Foreign Assets Control Legal Files—Treasury/OS

System location: 1331 G Street N.W., Room 504, Washington, D.C. 20220.

Categories of individuals covered by the system: Individuals who have corresponded with (or been the subject of correspondence) regarding legal matters and regulations administered by the Office of Foreign Assets Control; and individuals who have been criminally prosecuted, or involved in civil litigation (as plaintiff or defendant) with the United States, in matters involving statutes and/or regulations administered by the Office of Foreign Assets Control (e.g.:

criminal prosecutions for violation of statutes and regulations; suits to enjoin the Office of Foreign Assets Control from holding bank accounts or other property in a blocked status; suits to compel the Office of Foreign Assets Control to issue licenses for import of merchandise from a designated country; suits seeking to have statutes and regulations administered by Foreign Assets Control held unconstitutional, in fact or as applied; etc.).

Categories of records in the system: Copies of the pleading and all other legal documents connected with civil litigation and criminal proceedings involving statutes and regulations administered by the Office of Foreign Assets Control, including memoranda of law, drafts of legal briefs, and other material prepared by the FAC legal staff for use in such litigation; material obtained pursuant to discovery under applicable court rules (depositions, written interrogatories, etc.); copies of final orders, decrees, and opinions of courts in such litigation, and copies of correspondence relating to activities of any party to such litigation (containing information relevant to the issues involved in the litigation); or other general correspondence regarding the Office of Foreign Assets Control legal matters.

Authority for maintenance of the system: Statutes: Section 5(b) of the Trading with the Enemy Act (50 USC, App. Section 5(b)). Section 5 of the United Nations Participation Act (22 USC, Section 287c). Section 620 (a) of the Foreign Assistance Act of 1961 (22 USC 2370 (a)). Executive Orders: E.O. 9193; E.O. 9989; E.O. 11322; E.O. 11419; Proc. 3447. Regulations: Foreign Funds Control Regulations, (31 CFR, Part 520); Foreign Assets Control Regulations, (31 CFR, Part 500); Cuban Assets Control Regulations, (31 CFR, Part 515); Rhodesian Sanctions Regulations, (31 CFR, Part 530); Transactions Control Regulations, (31 CFR, Part 505).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Preparation and conduct of litigation in process by the Justice Department. (2) Research source for the FAC Enforcement section. (3) Source of information for the FAC Licensing section in consideration of applications for FAC license. (4) Source of legal precedents and for other legal research by the FAC Legal section. (5) Referral to Department of Justice in cases involving Statutes and Regulations administered by the Office of Foreign Assets Control. (6) Disclosure to U.S. Customs Service in cases which jointly involve similar matters, or which involve, jointly, both the FAC and the U.S. Customs Service. (7) Disclosure to the State Department in connection with foreign policy aspects of legal problems involved. (8) Disclosure to U.S. Department of Commerce where cases involve matters of interest to, or which are in the jurisdiction of that Department. (9) For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: The Foreign Assets Control Litigation records consist of documents in folders which are stored in file cabinets secured by approved detachable combination locks. The files are retrieved by name of the individual. During normal working hours, the room where these records are kept is manned by persons who are instructed not to allow unauthorized persons into the file area, nor to disclose or release any material to persons other than FAC personnel. During off-duty hours, the room in which the records are kept is safeguarded by appropriate electronic protective devices. The Litigation records are maintained indefinitely as research source and legal precedent.

System manager(s) and address: Administrative Officer, Room 3006, U.S. Treasury Department, Washington, D.C. 20220.

Notification procedure: See System Manager.

Record access procedures: See System Manager.

Contesting record procedures: See System Manager.

Record source categories: Pleadings and other materials filed during course of a legal proceeding; discovery obtained pursuant to applicable court rules; materials obtained from FAC Enforcement Section; material obtained pursuant to requests made on other Federal agencies; orders, opinions, decisions of courts.

Treasury/OS 00.150

System name: Freedom of Information Requests for Office of Secretary and other Department records-Treasury/OS.

System location: Freedom of Information Request, OS, Department of the Treasury, 1500 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Individuals requesting information.

Categories of records in the system: Correspondence pursuant to the Freedom of Information Act, internal processing documents and memoranda; referrals and copies of requested records.

Authority for maintenance of the system: Freedom of Information Act, 5 U.S.C. 552, 31 CFR Part 1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For reporting requirements as required by the Act; to respond to other Department officials who request information regarding persons making an FOI request; evaluation purposes and determination of volume of requests received and the impact on the current workload; preparation of budget; disclosures in accordance with Freedom of Information Act, to other agencies when required for coordination of response or referral; to Department of Justice for defending law suits; to Congressional Committees; for additional routine uses see Appendix AA.

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

Storage: File folders.

Retrievability: By name of requester(s) and date of request.

Safeguards: Filed in filing cabinet and released only to individuals with legitimate right to review.

Retention and disposal: In accordance with the provisions of the Act and Departmental records management procedures.

System manager(s) and address: Assistant General Counsel (ALFO), Room 1410, Main Treasury Building, 1500 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: See System Manager.

Record access procedures: See System Manager.

Contesting record procedures: See System Manager.

Record source categories: Individuals who make Freedom of Information Act requests. Federal officials responding to Freedom of Information Act requests and documents from official records.

Treasury/OS 00.151

System name: Gifts to the United States—Treasury/OS.

System location: U.S. Treasury Department, Office of the General Counsel, 1500 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Donors of inter vivos and testamentary gifts to the United States.

Categories of records in the system: Correspondence, copies of wills and court proceedings, and other material related to gifts to the United States.

Authority for maintenance of the system: 50 U.S.C. 1151-1156. Department Circular No. 865 (revised).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To process gifts to the United States and claims against such gifts in accordance with Departmental regulations. For additional routine uses see Appendix AA.

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

Storage: File folders in file cabinets.

Retrievability: Name of donor.

Safeguards: Files are in file room; access is limited to persons on official business.

Retention and disposal: Files kept for an indefinite period.

System manager(s) and address: Administrative Officer, Office of the General Counsel, U.S. Treasury Department, 1500 Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: See System Manager.

Record access procedures: See System Manager.

Contesting record procedures: See System Manager.

Record source categories: Individuals, executors, administrators and other involved persons.

Treasury/OS 00.152

System name: General Counsel Personnel Files—Treasury/OS.

System location: Room 3000, Main Treasury Building, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Present and former attorneys and applicants for positions within the Office of the General Counsel.

Categories of records in the system: The information in this system consists of applications, letters of recommendation and other information concerning the qualifications of the individuals within the category.

Authority for maintenance of the system: Title 5, U.S. Code. In accordance with statutory and Department of the Treasury Office of the General Counsel rules for Presidential appointments, hiring and promotions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by the General Counsel and other senior Department officials in connection with promotions and hiring of senior attorneys within the General Counsel's office. For additional routine uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: Filed alphabetically.

Safeguards: The files are kept in locked cabinets with a limited number of employees permitted access.

Retention and disposal: The records include individuals who are or have been employed or sought employment with the General Counsel's Office since 1956.

System manager(s) and address: Administrative Officer, Office of the General Counsel, Room 3006, Main Treasury Building, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Individual concerned, letters of recommendation, and other data submitted pursuant to the General Counsel's and the individual's request.

Treasury/OS 00.153

System name: Personnel: General Counsels, Deputy General Counsels, and Assistant General Counsels—Treasury/OS.

System location: Room 3006, Main Treasury Building, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Present and past General Counsels, Deputy General Counsels, and Assistant General Counsels.

Categories of records in the system: Contains information on the individual's tenure in office: date of appointment and resignation.

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: Used for reference purposes. For additional routine uses see Appendix AA.

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

Storage: Files in Office of the Administrative Officer, Office of the General Counsel.

Retrievability: By title of position and name of individual.

Safeguards: Administrative Officer controls access to the system.

Retention and disposal: Information retained on officials for indefinite period.

System manager(s) and address: Administrative Officer, Office of the General Counsel, Room 3006, Main Treasury Building, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Personnel records.

Treasury/OS 00.154

System name: Private relief bill system—Treasury/OS.

System location: Office of the General Counsel, Room 1417, Treasury Department, 1500 Pennsylvania Ave., N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Individuals who have had private relief bills introduced in Congress on their behalf.

Categories of records in the system: Congressional committee or OMB request for Treasury views on proposed legislation plus comments on proposal from offices or bureaus of Treasury.

Authority for maintenance of the system: 5 U.S.C. 301. A function of the Office of the General Counsel is to handle and coordinate legislative work that concerns Treasury.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: System is used to furnish reports on proposed legislation to Congress or OMB. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Indexed on 5 by 8 card by bill number but cross-indexed to individual's name. Complete file is kept by bill number and Congress. Permanent file.

System manager(s) and address: Administrative Officer, Room 3006, Department of the Treasury, 1500 Pennsylvania Ave., N.W., Washington, D.C. 20220.

Notification procedure: See System Manager.

Record access procedures: See System Manager.

Contesting record procedures: See System Manager.

Record source categories: Sources of the request are usually Congressional committees or OMB. Other information comes from Treasury bureau or office concerned in matter and from the individual concerned.

Treasury/OS 00.155

System name: State Attorney Generals Records (ORS)—Treasury/OS.

System location: Office of Revenue Sharing, 2401 "E" Street, N.W., Washington, D.C. 20226.

Categories of individuals covered by the system: State Attorney Generals or Assistant Attorney Generals.

Categories of records in the system: Correspondence with State offices of Attorney Generals concerning State laws as they affect the expenditure of funds under the Revenue Sharing Act.

Authority for maintenance of the system: State and Local Fiscal Assistance Act of 1972 (P.L. 92-512).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The records are used by the Chief Counsel for Revenue Sharing. They are used for determining the applicability and effect of State laws on the expenditure of funds under the Revenue Sharing Act. For additional routine uses see Appendix AA.

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

Storage: A filing cabinet.

Retrievability: The system is alphabetically indexed by name of State.

Safeguards: The room in which the file cabinet is located is locked at night.

Retention and disposal: The records are updated periodically.

System manager(s) and address: Administrative Officer, 1500 Pennsylvania Ave., N.W., Main Treasury Room 3006, Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: An individual may call or write to the following address: Chief Counsel for Revenue Sharing, 2401 "E" St., N.W., Room 1545, Washington, D.C. 20226. Telephone—(202) 634-5182.

Contesting record procedures: See Access above.

Record source categories: Correspondence with State offices of Attorney Generals.

Treasury/OS 00.156

System name: Tax Court Judge Applicants—Treasury/OS.

System location: Room 3000, Main Treasury Building, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Individuals requesting consideration for appointment to Tax Court judgeships.

Categories of records in the system: Information concerning the qualification of individuals for appointment to the Tax Court.

Authority for maintenance of the system: In accordance with the requirements for Presidential appointments, 26 U.S.C. 7443.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by senior Treasury Department officials in making recommendations to the President on appointments to the Tax Court. For additional routine uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: By name of individual.

Safeguards: The files are kept in locked cabinets with a limited number of employees permitted access.

Retention and disposal: The records relating to individuals date from 1966.

System manager(s) and address: Administrative Officer, Office of the General Counsel, Room 3006, Main Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Individual concerned and letters of recommendation from other individuals submitted at the request of the individual and/or the Department.

Treasury/OS 00.157

System name: Employee Record Cards—Treasury/OS.

System location: Room 3006, Main Treasury Building, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Present and former employees of the Office of the General Counsel.

Categories of records in the system: The information in this system consists of dates of personnel actions, pay increases, promotions, reassignments, change of rolls, retirement, transfer and resignation.

Authority for maintenance of the system: Federal Personnel Manual, Chapter 295 (Standard Form 7-B).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by supervisory personnel in connection with promotions, wage increases, and for verification of employment. For additional routine uses, see Treasury Appendix AA.

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

Storage: File cabinets.

Retrievability: By name of individual.

Safeguards: The files are kept in cabinets with a limited number of employees permitted access.

Retention and disposal: The records are retained on all present and former employees of the Office of the General Counsel.

System manager(s) and address: Administrative Officer, Office of the General Counsel, Room 3006, Main Treasury, 15th and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Same as above.

Record access procedures: Same as above.

Contesting record procedures: See Access above.

Record source categories: Standard Form 171 and Standard Form 50.

Treasury/OS 00.160

System name: Abandoned Enrollment Applications—Treasury/OS.

System location: Washington National Record Center, National Archives and Record Service, General Services Administration, Washington, D.C. 20409.

Categories of individuals covered by the system: Individuals who applied for enrollment to practice before the Internal Revenue Service but subsequently abandoned their applications.

Categories of records in the system: Application for enrollment to practice before the Internal Revenue Service and, in some cases, information regarding individuals' fitness for enrollment.

Authority for maintenance of the system: Title 31 U.S. Code, Section 1026.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Transfer of information to Federal law enforcement authorities for investigation and possible criminal prosecution, civil court action, administrative proceeding or regulatory order with respect to apparent violation of Federal law or regulations. For additional routine uses see Appendix AA.

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

Storage: Original application form and information relating to it fastened to each other.

Retrievability: This system is indexed by name of applicant.

Safeguards: Those safeguards in effect at Federal Record Center.

Retention and disposal: Permanent retention.

System manager(s) and address: Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Inquiries concerning access to records regarding identifiable individuals and procedures for contesting information contained in such records should be addressed to: Office of Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220, Telephone: (202) 634-5071.

Individuals inquiring about records regarding them will be requested to provide: (1) full name, (2) present address, (3) former address where appropriate because of age of record.

Record source categories: Information contained in this system may have been provided by: (1) Applicant, (2) Individuals, (3) Internal Revenue Service, (4) Other government agencies, (5) Professional organizations.

Treasury/OS 00.161

System name: Applicant Appeal Files—Treasury/OS.

System location: (1) U.S. Department of the Treasury, Office of Director of Practice, 2401 E Street, N.W., Suite 1537, Washington, D.C. 20220. (2) Washington National Record Center, National Archives and Record Service, General Services Administration, Washington, D.C. 20409.

Categories of individuals covered by the system: Individuals whose applications for enrollment to practice before the Internal Revenue Service have been denied and who have appealed such denial to the Director of Practice.

Categories of records in the system: Information relating to individuals' applications and eligibility for enrollment to practice before the Internal Revenue Service.

Authority for maintenance of the system: Title 31 U.S. Code, Section 1026.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Decision on appeal by Director of Practice from denial of application by the Internal Revenue Service. (2) Decision by Secretary of Treasury on appeal from Director of Practice's sustaining of denial of application for enrollment. (3) For individuals, denial of whose applications for enrollment is reversed by the Director of Practice, for use in connection with subsequent determinations by the Director of Practice as to whether violation of the regulations governing practice before the Internal Revenue Service has occurred. (4) Transfer of information to Federal law enforcement authorities for investigation and possible criminal prosecution, civil court action, administrative proceeding or regulatory order with respect to apparent violation of Federal law or regulations. (5) For additional routine uses see Appendix AA.

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

Storage: In file folders.

Retrievability: This system is indexed by name of individual.

Safeguards: This Office keeps all access doors locked when Office personnel are not present. Office personnel are cautioned against unnecessary exposure of information contained in Office files. Security investigations are conducted with respect to all Office of Director of Practice personnel.

Retention and disposal: Dispose 25 years after case closed; transfer to Federal Record Center 5 years after case closed except for a random selection of a small number of disciplinary cases to be made at 5-year intervals for retention.

System manager(s) and address: Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Exempt system.

Record access procedures: Exempt system.

Contesting record procedures: Exempt system.

Record source categories: Exempt system.

Systems exempted from certain provisions of the act: Portions of system exempted elsewhere in the Federal Register.

Treasury/OS 00.162

System name: Closed Files containing Derogatory Information about individuals' practice before the Internal Revenue Service and files of attorneys and certified public accountants formerly enrolled to practice—Treasury/OS.

System location: (1) U.S. Department of the Treasury, Office of Director of Practice, 2401 E Street, N.W., Suite 1537, Washington, D.C. 20220. (2) Washington National Records Center, National Archives and Record Service, General Services Administration, Washington, D.C. 20409.

Categories of individuals covered by the system: Individuals eligible to practice before the Internal Revenue Service (attorneys, certified public accountants and enrolled agents).

Categories of records in the system: Information relating to individuals' enrollments to practice before the Internal Revenue Service and, derogatory and other information regarding such practice.

Authority for maintenance of the system: Title 31 U.S. Code, Section 1026.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Determinations by the Director of Practice as to whether violations of the regulations governing practice before the Internal Revenue Service have occurred. (2) Transfer of information to Office of Chief Counsel, Internal Revenue Service so that that Office can represent the Director of Practice in hearings before administrative law judges held to determine whether violations of the regulations governing practice before the Internal Revenue Service have occurred and, if so, the appropriate disciplinary action. (3) Transfer of information to Federal law enforcement authorities for investigation and possible criminal prosecution, civil court action, administrative proceeding, or regulatory order with respect to apparent violations of Federal law or regulations. (4) For additional routine uses see Appendix AA.

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

Storage: In file folders.

Retrievability: This system is indexed by name of individual.

Safeguards: The Office keeps all access doors locked when Office personnel are not present. Office personnel are cautioned against unnecessary exposure of information contained in Office files. Security investigations are conducted with respect to all Office of Director of Practice personnel.

Retention and disposal: Dispose 25 years after case closed; transfer to Federal Record Center 5 years after case closed except for a random selection of a small number of disciplinary cases to be made at 5-year intervals for retention.

System manager(s) and address: Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Exempt system.

Record access procedures: Exempt system.

Contesting record procedures: Exempt system.

Record source categories: Exempt system.

Systems exempted from certain provisions of the act: System exempted elsewhere in the Federal Register.

Treasury/OS 00.163

System name: Derogatory Information (No Action)—Treasury/OS.

System location: U.S. Department of the Treasury, Office of Director of Practice, 2401 E Street, N.W., Suite 1537, Washington, D.C. 20220.

Categories of individuals covered by the system: Attorneys, certified public accountants, enrolled agents and others.

Categories of records in the system: Such files contain derogatory information concerning attorneys, certified public accountants, and enrolled agents and others over whom there is no current jurisdiction, where such information is subject to future development, or where such information is not sufficiently serious to be currently considered a case file.

Authority for maintenance of the system: Title 31 U.S. Code, Section 1026.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Determinations by the Director of Practice as to whether violations of the regulations governing practice before the Internal Revenue Service have occurred. (2) Transfer of information to Federal law enforcement

authorities for investigation and possible criminal prosecution, civil court action, administrative proceeding or regulatory order with respect to apparent violation of Federal law or regulations. (3) For additional routine uses see Appendix AA.

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

Storage: In file folders.

Retrievability: This system is indexed by name of individual.

Safeguards: This Office keeps all access doors locked when office personnel are not present. Office personnel are cautioned against unnecessary exposure of office files. Security investigations are conducted with respect to all Office of Director of Practice personnel.

Retention and disposal: Dispose after 5 years by burning.

System manager(s) and address: Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Exempt system.

Record access procedures: Exempt system.

Contesting record procedures: Exempt system.

Record source categories: Exempt system.

Systems exempted from certain provisions of the act: Portions of this system exempted elsewhere in the Federal Register.

Treasury/OS 00.164

System name: Disbarments—Treasury/OS.

System location: (1) U.S. Department of the Treasury, Office of Director of Practice, 2401 E Street, N.W., Suite 1537, Washington, D.C. 20220. (2) Washington National Records Center, National Archives and Record Service, General Services Administration, Washington, D.C. 20409.

Categories of individuals covered by the system: Individuals formerly eligible to practice before the Internal Revenue Service but now disbarred from such practice.

Categories of records in the system: Information relating to individuals' enrollment to practice before the Internal Revenue Service, derogatory and other information regarding such practice, and record of proceedings.

Authority for maintenance of the system: Title 31 U.S. Code, Section 1026.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Maintain record of those who have been disbarred from practice before the Internal Revenue Service and reasons for such disbarment. (2) Determinations by the Director of Practice as to whether disbarred individuals' petition for reinstatement to practice before the Internal Revenue Service shall be granted. (3) Transfer of information to Federal law enforcement authorities for investigation and possible criminal prosecution, civil court action, administrative proceeding or regulatory order with respect to apparent violation of Federal law. (4) Transfer of information regarding disbarment of attorneys, certified public accountants and enrolled agents to professional organizations. (5) For additional routine uses see Appendix AA.

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

Storage: In file folders.

Retrievability: This system is indexed by name of individual.

Safeguards: This Office keeps all access doors locked when Office personnel are not present. Office personnel are cautioned against unnecessary exposure of information contained in Office files. Security investigations are conducted with respect to all Office of Director of Practice personnel.

Retention and disposal: Dispose 25 years after case closed; transfer to Federal Record Center 5 years after case closed except for a random selection of a small number of disciplinary cases to be made at 5-year intervals for retention.

System manager(s) and address: Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Exempt system.

Record access procedures: Exempt system.

Contesting record procedures: Exempt system.

Record source categories: Exempt system.

Systems exempted from certain provisions of the act: System exempted elsewhere in the Federal Register.

Treasury/OS 00.165

System name: General Correspondence File—Treasury/OS.

System location: U.S. Department of the Treasury, Office of Director of Practice, 2401 E Street, N.W., Suite 1537, Washington, D.C. 20220.

Categories of individuals covered by the system: General public.

Categories of records in the system: General inquiries and comments from the general public.

Authority for maintenance of the system: 31 U.S.C. 1026.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Provide answers to inquiries or other information regarding the operation of this Office. For additional routine uses see Appendix AA.

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

Storage: In file folder.

Retrievability: Correspondence is indexed alphabetically by writer.

Safeguards: This Office keeps all access doors locked when Office personnel are not present. File cabinets in which correspondence is stored are locked during nonbusiness hours. Security investigations are conducted with respect to all Office of Director of Practice personnel.

Retention and disposal: Destroyed after 3 years.

System manager(s) and address: Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Inquiries should be addressed to: Office of Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Individuals inquiring about records regarding them will be requested to provide: (1) full name, (2) present address, (3) former address where appropriate because of age of record.

Record access procedures: Inquiries concerning access to records regarding identifiable individuals and procedures for contesting information contained in such records should be addressed to: Office of Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Information contained in records of this system has been provided by the writers of correspondence contained in the system.

Treasury/OS 00.166

System name: Inventory—Treasury/OS.

System location: U.S. Department of the Treasury, Office of Director of Practice, 2401 E Street, N.W., Suite 1537, Washington, D.C. 20220.

Categories of individuals covered by the system: Attorneys, certified public accountants and enrolled agents about which alleged misconduct in their practice before the Internal Revenue Service is being reviewed and evaluated.

Categories of records in the system: Information relating to individuals' enrollment or eligibility to practice before the Internal Revenue Service, and information relating to their conduct in such practice.

Authority for maintenance of the system: 31 U.S.C. 1026.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Determinations by the Director of Practice as to whether violations of the regulations governing practice before the Internal Revenue Service have occurred. (2) Use of information (ordinarily by Office of Chief Counsel, Internal Revenue Service, and the Department of Justice) at administrative hearings and court proceedings relating to individuals' eligibility to represent taxpayers before the Internal Revenue Service. (3) Transfer of information to Federal law enforcement authorities for investigation and possible criminal prosecution, civil court action, administrative proceeding or regulatory order with respect to apparent violations of Federal law or regulations. (4) Transfer of information to Internal Revenue Service for investigation with respect to apparent violation of the regulations governing practice before the Internal Revenue Service.

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

Storage: In file folders.

Retrievability: This system is indexed by name of individual.

Safeguards: This Office keeps all access doors locked when Office personnel are not present. File cabinets in which this system is stored are locked during nonbusiness hours. Security investigations are conducted with respect to all Office of Director of Practice personnel.

Retention and disposal: Dispose 25 years after case closed; transfer to Federal Record Center 5 years after case is closed except for a random selection of a small number of disciplinary cases to be made at 5-year intervals for retention.

System manager(s) and address: Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Exempt system.

Record access procedures: Exempt system.

Contesting record procedures: Exempt system.

Record source categories: Exempt system.

Systems exempted from certain provisions of the act: Portions of system exempted elsewhere in the Federal Register.

Treasury/OS 00.167

System name: Register of Docketed Cases and Applicant Appeals—Treasury/OS.

System location: U.S. Department of the Treasury, Office of Director of Practice, 2401 E Street, N.W., Suite 1537, Washington, D.C. 20220.

Categories of individuals covered by the system: Individuals against whom complaints have been filed with the Office of Director of Practice pursuant to Title 31, CFR, Subpart C, Section 10.54, for alleged violation of the regulations governing practice before the Internal Revenue Service and individuals who have appealed to the Director of Practice the denials of their application for enrollment to practice before the Internal Revenue Service.

Categories of records in the system: Record of actions taken in cases docketed for hearings and record of actions taken on appeals from denials of applications for enrollment.

Authority for maintenance of the system: 31 U.S. Code 1026.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Office of Director of Practice administrative recordkeeping. For additional routine uses see Appendix AA.

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

Storage: In loose-leaf binder.

Retrievability: This system is indexed by complaint number and by name of the individual.

Safeguards: This Office keeps all access doors locked when Office personnel are not present. Security investigations are conducted with respect to all Office of Director of Practice personnel.

Retention and disposal: Permanent retention.

System manager(s) and address: Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Inquiries should be addressed to: Office of Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Individuals inquiring about records regarding them will be requested to provide: (1) full name, (2) complaint number.

Record access procedures: Inquiries concerning access to records regarding identifiable individuals and procedures for contesting information contained in such records should be addressed to: Office of Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: Information contained in records in this system has been provided by: (1) this office, (2) administrative law judges, (3) Internal Revenue Service.

Treasury/OS 00.168

System name: Resigned Enrolled Agents (action pursuant to 31 CFR, Section 10.55(b))—Treasury/OS.

System location: U.S. Department of the Treasury, Office of Director of Practice, 2401 E Street, N.W., Suite 1537, Washington, D.C. 20220.

Categories of individuals covered by the system: Those individuals who were formerly enrolled to practice before the Internal Revenue Service and who resigned from such enrollment.

Categories of records in the system: Information relating to individuals' applications for enrollment to practice before the Internal Revenue Service and derogatory and other information regarding such practice.

Authority for maintenance of the system: 26 U.S. Code 1026.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Use in connection with resigned enrollees' future applications for enrollment to practice before the Internal Revenue Service. (2) In cases where resigned enrollees are again enrolled to practice before the Internal Revenue Service, for use in connection with determinations as to whether violations of the regulations governing such practice have occurred. (3) Transfer of information to Federal law enforcement authorities for investigation and possible criminal prosecution, civil court action, administrative proceeding, or regulatory order with respect to apparent violation of Federal law or regulations. (4) For additional routine uses see Appendix AA.

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

Storage: In file folders.

Retrievability: This system is indexed by name of individual.

Safeguards: This Office keeps all access doors locked when Office personnel are not present. Office personnel are cautioned against unnecessary exposure of information contained in Office files. Security investigations are conducted with respect to all Office of Director of Practice personnel.

Retention and disposal: Dispose 25 years after case closed; transfer to Federal Records Center 5 years after case closed except for a random selection of a small number of disciplinary cases to be made at 5-year intervals for retention.

System manager(s) and address: Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Exempt system.

Record access procedures: Exempt system.

Contesting record procedures: Exempt system.

Record source categories: Exempt system.

Systems exempted from certain provisions of the act: Portions of system exempted elsewhere in the Federal Register.

Treasury/OS 00.169

System name: Roster of Former Enrollees—Treasury/OS.

System location: U.S. Department of the Treasury, Office of Director of Practice, 2401 E Street, N.W., Suite 1537, Washington, D.C. 20220.

Categories of individuals covered by the system: Attorneys and certified public accountants who were enrolled to practice before the Internal Revenue Service prior to enactment of the Agency Practice Act, Title 5 U.S. Code, Section 500.

Categories of records in the system: This system contains individuals' names, addresses, professions, the dates of their enrollments and the expiration dates of such enrollments.

Authority for maintenance of the system: 31 U.S. Code 1026.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Determinations as to whether the Office of Director of Practice has jurisdiction over an individual's violation of the regulations governing practice before the Internal Revenue Service. (2) Use of information (ordinarily by Office of Chief Counsel, Internal Revenue Service, and the Department of Justice) at administrative and court proceedings relating to individuals' eligibility to represent taxpayers before the Internal Revenue Service. (3) For additional routine uses see Appendix AA.

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

Storage: In loose-leaf binders.

Retrievability: This system is indexed by profession (i.e., attorney or certified public accountant) and by the individual's name.

Safeguards: This Office keeps all access doors locked when Office personnel are not present. Office personnel are cautioned against unnecessary exposure of office files. Security investigations are conducted with respect to all Office of Director of Practice personnel.

Retention and disposal: Permanent retention.

System manager(s) and address: Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Inquiries should be addressed to: Office of Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Individuals inquiring about records regarding them will be requested to provide: (1) full name, (2) present address, (3) former address (during period of time covered by record).

Record access procedures: Inquiries concerning access to records regarding identifiable individuals and procedures for contesting information contained in such records should be addressed to: Office of Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220, Telephone: (202)634-5071.

Contesting record procedures: See Access above.

Record source categories: Information contained in records in this system has been provided by: (1) Individuals, (2) Internal Revenue Service.

Treasury/OS 00.170

System name: Present suspensions from practice before the Internal Revenue Service.

System location: (1) U.S. Department of the Treasury, Office of Director of Practice, 2401 E Street, N.W., Suite 1537, Washington, D.C. 20220. (2) Washington National Records Center, National Archives and Record Service, General Services Administration, Washington, D.C. 20409.

Categories of individuals covered by the system: Attorneys, certified public accountants and enrolled agents who have offered their consent to voluntary suspension from practice before the Internal Revenue Service or who have been suspended from such practice after due notice and opportunity for hearing.

Categories of records in the system: Information relating to individuals' enrollment or eligibility to practice before the Internal Revenue Service, derogatory and other information relating to their conduct in such practice.

Authority for maintenance of the system: Title 31 U.S. Code, Section 1026.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Determinations by the Director of Practice as to whether violations of the regulations governing practice before the Internal Revenue Service have occurred. (2) Determinations by the Director of Practice as to whether suspended practitioners' petitions for reinstatement to practice should be granted. (3) Transfer of information to Federal law enforcement authorities for investigation and possible criminal prosecution, civil court action, administrative proceeding or regulatory order with respect to apparent violation of Federal law or regulations. (4) For additional routine uses see Appendix AA.

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

Storage: In file folders.

Retrievability: This system is indexed by name of individual.

Safeguards: This Office keeps all access doors locked when Office personnel are not present. Office personnel are cautioned against unnecessary exposure of Office files and are instructed to lock file cabinets containing these records during nonbusiness hours. Security investigations are conducted with respect to all Office of Director of Practice personnel.

Retention and disposal: Dispose 25 years after case closed; transfer to Federal Records Center 5 years after case closed except for a random selection of a small number of disciplinary cases to be made at 5-year intervals for retention.

System manager(s) and address: Director of Practice, U.S. Department of the Treasury, Washington, D.C. 20220.

Notification procedure: Exempt system.

Record access procedures: Exempt system.

Contesting record procedures: Exempt system.

Record source categories: Exempt system.

Systems exempted from certain provisions of the act: Portions of this system exempt elsewhere in the Federal Register.

Treasury/OS 00.180

System name: Accounting for Investment Credit File, Office of the Assistant Secretary for Tax Policy—Treasury/OS.

System location: Room 4028, Main Treasury Building, 15th Street and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Taxpayers applying for permission to the Secretary of the Treasury to obtain the method of accounting for the investment tax credit as required by Section 101(c) of the Revenue Act of 1971.

Categories of records in the system: Correspondence to and from applicants for change of method of accounting for the investment tax credit.

Authority for maintenance of the system: Section 101(c) of the Revenue Act of 1971.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Issuance of approvals and rejections of applications for change of method of accounting for the investment tax credit and insuring uniformity of administration of the Secretary's powers under Section 101(c) of the Revenue Act of 1971. For additional routine uses see Appendix AA.

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

Storage: The records are in writing on paper and are stored in a file cabinet.

Retrievability: The records are commingled with other material concerning accounting for the investment tax credit, are filed chronologically, and are identifiable by the name of the applicant.

Safeguards: Informal.

Retention and disposal: Indefinite.

System manager(s) and address: Tax Legislative Counsel, Room 3064, Main Treasury Building, 15th Street and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Contact the System Manager.

Record access procedures: Through the System Manager.

Contesting record procedures: Contact the System Manager.

Record source categories: Correspondence to and from the applicant.

Treasury/OS 00.181

System name: FOI Compliance File, Office of the Assistant Secretary for Tax Policy—Treasury/OS.

System location: Room 4028, Main Treasury Building, 15th Street and Pennsylvania Avenue, Washington, D.C. 20220.

Categories of individuals covered by the system: Persons who have requested disclosure of records under the Freedom of Information Act.

Categories of records in the system: Forms or letters written by persons to request disclosure of records under the Freedom of Information Act, letter responses thereto, referrals thereof, and copies of requested records.

Authority for maintenance of the system: 5 U.S.C. Section 552(d).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To monitor compliance with the Freedom of Information Act, to insure uniformity of compliance, and to assist in continuing compliance. For additional routine uses see Appendix AA.

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

Storage: The records are in writing on paper and are stored in file cabinets.

Retrievability: The records are arranged chronologically and are identifiable by name of the requester.

Safeguards: Informal.

Retention and disposal: Indefinite.

System manager(s) and address: Freedom of Information Officer, Office of the Assistant Secretary for Tax Policy, Room 4028, Main Treasury Building, 15th Street and Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Write the System Manager.

Record access procedures: By application to the System Manager.

Contesting record procedures: Contact System Manager.

Record source categories: Correspondence between the Office and persons requesting documents under the Freedom of Information Act and the requested documents from existing Office records.

Treasury/OS 00.182

System name: Special Personnel Working Files, Office of the Assistant Secretary for Tax Policy—Treasury/OS.

System location: Rooms 3112, 3122, 3108, 4217, 4045, 3064, 4222, 4028, 4004, 4040, Main Treasury Building, 15th Street and Pennsylvania Avenue, N.W., Washington, D.C. 20220, and Room 1036, 1425 K Street, N.W., Washington, D.C. 20225.

Categories of individuals covered by the system: Past, present, and prospective employees and consultants of the Office of the Assistant Secretary and of certain other tax-related governmental institutions.

Categories of records in the system: Correspondence with and about past and prospective employees; memoranda of conversations; time, leave, pay, promotion records; evaluation records; et cetera.

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: Used by supervisory and administrative personnel of the Office of the Assistant Secretary as supplementary and complementary to official Departmental personnel files to record personnel actions regarding employees of the Office and as a reference tool in preparation for or review of anticipated or past personnel actions and for advising others, both within and without the Government, as to the qualifications and performance of past, present, and prospective employees of the Office of the Assistant Secretary. For additional routine uses see Appendix AA.

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

Storage: The records are maintained on paper in writing.

Retrievability: The records are indexed by the name of the person with respect to whom the record is maintained.

Safeguards: Various.

Retention and disposal: Indefinite.

System manager(s) and address: Assistant Secretary for Tax Policy, Deputy Assistant Secretary for Tax Policy (Tax Legislation), Deputy Assistant Secretary for Tax Policy (Tax Analysis), Tax Legislative Counsel, Deputy Tax Legislative Counsel, Associate Tax Legislative Counsel, International Tax Counsel, Deputy International Tax Counsel, Associate Director Office of Tax Analysis, Director Office of Industrial Economics.

Notification procedure: Freedom of Information Officer, Office of the Assistant Secretary for Tax Policy, Room 3064, Main Treasury Building, 15th Street and Pennsylvania Avenue, N.W., Washington, D.C. 20220, with sufficient identification as to individual's identity and information sufficient to determine within which office the records would most likely be located and the probable age of the record.

Record access procedures: By application to Freedom of Information Officer.

Contesting record procedures: By application to Freedom of Information Officer.

Record source categories: The records are developed from correspondence, memoranda, and official Treasury Department personnel forms.

Treasury/OS 00.183

System name: Private Relief Tax Bill Files—Office of the Assistant Secretary for Tax Policy—Treasury/OS.

System location: Rooms 3064 and 4222 and 4028, Main Treasury Building, 15th Street and Pennsylvania Avenue, Washington, D.C. 20220.

Categories of individuals covered by the system: Individuals who have had private relief tax bills introduced in Congress on their behalf.

Categories of records in the system: Congressional Committee or OMB request for Treasury views on proposed legislation, plus comments on proposal from offices or bureaus of Treasury, plus the Internal Revenue Service data concerning the issues involved and that unit's recommendation, and the report of the Treasury on the Bill.

Authority for maintenance of the system: 5 U.S.C. 301. A function of the Office of the Assistant Secretary for Tax Policy and the Office of the Tax Legislative Counsel is to coordinate legislative work in the tax field that concerns Treasury and to advise the Secretary with respect thereto.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: System is used to furnish

reports and testimony to Congress or OMB. For additional routine uses, see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: System manager(s) and address: Tax Legislative Counsel, Room 3064, Main Treasury Building, 15th Street and Pennsylvania Avenue, Washington, D.C. 20220.

Notification procedure: Contact the System Manager.

Record access procedures: Through the System Manager.

Contesting record procedures: Contact the System Manager.

Record source categories: Principally the Congress and the Internal Revenue Service.

Treasury/OS 00.190

System name: Automated Directory System—Treasury/OS.

System location: Main Computer—Bowne Timesharing, New York, New York. Terminal and Readout—Main Treasury Building, Washington, D.C.

Categories of individuals covered by the system: All Department of the Treasury employees located in the Washington, D.C., Metropolitan Area.

Categories of records in the system: Name of individual, office address, office telephone extension. (To be added in near future: home address, home telephone, emergency notification data.)

Authority for maintenance of the system: Department of the Treasury Telecommunications Circular No. 21, dated June 13, 1974.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used at the Treasury Switchboard Information Positions to assist callers in locating Treasury employees. For additional routine uses see Appendix AA. USERS—Telephone Information Operators.

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

Storage: Mag. tape.

Retrievability: Indexed by name and block code numbers.

Safeguards: Computer access codes.

Retention and disposal: Maintained until notice of change or employment is terminated. Disposal of information on mag-tape is by erasure.

System manager(s) and address: Director, Office of Administrative Programs, Office of the Secretary, Washington, D.C. 20220.

Notification procedure: Director, Office of Administrative Programs, see above.

Record access procedures: Director, Office of Administrative Programs, see above.

Contesting record procedures: Director, Office of Administrative Programs, see above.

Record source categories: Each individual Treasury employee.

Treasury/OS 00.191

System name: Buildings Management Employee Folder—Treasury/OS.

System location: Office of Buildings Manager.

Categories of individuals covered by the system: All employees of Buildings Management—includes all shops as follows: Cabinet shop, Elevator shop, Electric shop, Engineer shop, Day and Night Maintenance, Paint shop, Locksmith.

Categories of records in the system: Each employee has individual folder containing items such as Letters of Counseling, suspensions, awards, step increases, evaluations as well as copies of official personnel actions such as SF-52's.

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: Normally a storage file for information purposes. Can be examined during periods of potential promotion, training needs, proposed advise actions. For additional routine uses see Appendix AA.

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

Storage: Normal 8 x 10 letter size paper.

Retrievability: By name.

Safeguards: Maintained in locked file cabinet utilizing Treasury "Open" "Closed" security program.

Retention and disposal: Maintained until employee leaves Treasury service—purged annually to remove adverse comments not followed through with formal actions.

System manager(s) and address: Buildings Manager, The Department of the Treasury, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: The Department of the Treasury, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220. Attn: Buildings Manager. Only personal identification required to review his own personal record.

Record access procedures: Simple presentation of the individual at the Buildings Management Office during normal work hours is sufficient to review personal record. Office is located in Main Treasury, Washington, D.C. 20220.

Contesting record procedures: See System Manager above.

Record source categories: Information received from official records such as time cards and SF-52's. Information also received through interviews and private counselings with the individual employee.

Treasury/OS 00.192

System name: Buildings Management Staffing & Recruitment File—Treasury/OS.

System location: The Department of the Treasury, Office of the Secretary—OAP, Real Property Management, Washington, D.C. 20220.

Categories of individuals covered by the system: Real Property Management and Buildings Management Branch personnel.

Categories of records in the system: Contains historical data on positions in the Real Property Management and Buildings Management Branch offices, including evaluative comments about applicants (current employees) and associated selection criteria statements.

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: Historical reference data for reconstructing RPM and BMB staffing patterns and positions development for organizational/periodic reviews and evaluations. For additional routine uses see Appendix AA.

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

Storage: File folder.

Retrievability: By subject.

Safeguards: All office personnel have security clearances.

Retention and disposal: Indefinite.

System manager(s) and address: Assistant Director, Real Property Management, Office of Administrative Programs.

Notification procedure: All inquiries should be addressed to: The Department of the Treasury, Office of Administrative Programs—OS, Assistant Director, Real Property Management, Washington, D.C. 20220.

Record access procedures: All inquiries concerning procedures for gaining access to and contesting records should be addressed to: The Department of the Treasury, Office of Administrative Programs—OS, Assistant Director, Real Property Management, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: RPM and BMB position descriptions, copies of; Standard Form 52, copies of RPM and BMB personnel actions; RPM and BMB position justifications; Memoranda concerning RPM and BMB staffing patterns, applicant selection criteria, and position classifications.

Treasury/OS 00.198

System name: Daily Bindery Log, Reproduction Branch—Treasury/OS 00.198.

System location: Department of the Treasury, Annex, Madison Place and Pennsylvania Avenue, Washington, D.C. 22020.

Categories of individuals covered by the system: All Reproduction Branch Employees.

Categories of records in the system: Name, date, and Machine No., Jacket and GPO number; prime and cut stock sizes; types work performed and clocktime with totals; hours and category of leave taken; employees and equipment production and time employment; materials used.

Authority for maintenance of the system: Title 5, United States Code, Chapters: 3, Sections 301 and 302; 29, Subchapter II, Section 2952 and 2953; 43, Sections 4302, 4303, and/or 4308; 45, Section 4506; 55, Subchapters I, Section 5504, V, Sections 5541 and/or 5548; 63, Subchapter I, Sections 6303, 6304 and/or 6311; 75, Subchapter I.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: It is used to enable accurate completion of Fiscal Year Annual and Planning and Estimation Reports; Employee and Machine evaluations. It is used by employees who have a need for the records as authorized. For additional routine uses see Appendix AA.

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

Storage: Printed form.

Retrievability: By day/month/year and employee name.

Safeguards: Office physically secure after normal duty hours.

Retention and disposal: Retained for a minimum of 4 yrs.—shredded.

System manager(s) and address: Chief, Reproduction Branch, Department of the Treasury, Annex, Madison Place and Pennsylvania Avenue, Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Information supplied by Reproduction Branch Binderymen.

Treasury/OS 00.199

System name: Daily Work Log, Reproduction Branch—Treasury/OS 00.199.

System location: Department of the Treasury, Annex, Madison Place and Pennsylvania Avenue, Washington, D.C. 20220.

Categories of individuals covered by the system: All Reproduction Pressmen.

Categories of records in the system: All specifications/determinations with regard to employee printing press production.

Authority for maintenance of the system: The authority to collect the information is derived from, and/or is to be utilized to enable compliance with, one or more of the following: Title 5, United States Code, Chapters: 3, Sections 301 and 302; 43, Sections 4302, 4303, and/or 4308; 45, Section 4506; 55, Subchapters I, Section V, Sections 5541, 5542, and/or 5548; 63, Subchapter I, Sections 6303, 6304 and/or 6311; 75, Subchapter I, Joint Committee on Printing, Printing & Binding Regulations, Title IV, Para. 47.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information is collected for the purposes of enabling accurate accounting and/or record maintenance of: job/jacket number, type plates, impressions and units, time and hours to complete job, equipment downtime, leave time, name and date; employee/machine production and time employment; materials used. It will be used to enable accurate completion of: information/paperwork necessary for Joint Committee on Printing Form No. 1, including TD Form 3223, Monthly Production Report; Fiscal Year Planning and Estimation Report; Employee and Machine Evaluation, and necessary administrative processes carried out in accordance with existing regulations and published notices of systems of records. It is used by employees who have a need for the records as authorized. For additional routine uses see Appendix AA.

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

Storage: Printed form.

Retrievability: Press number/employee name.

Safeguards: Office physically secure after normal duty hours.

Retention and disposal: Three years maximum—shredded.

System manager(s) and address: Chief, Reproduction Branch, Department of the Treasury, Annex, Madison Place and Pennsylvania Avenue, Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Information supplied by Reproduction Pressmen.

Treasury/OS 00.193

System name: Employee Locator Record—Treasury/OS.

System location: Main Treasury Building, 1500 Penna. Ave., N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: All Department of the Treasury employees located in the Washington, D.C., Metropolitan Area.

Categories of records in the system: Name of individual, office address, office telephone extension, home address, home telephone, emergency notification data.

Authority for maintenance of the system: Department of the Treasury Telecommunications Circular No. 21, dated June 13, 1974.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used at the Treasury Switchboard Information Positions to assist callers in locating Treasury employees. For additional routine uses see Appendix AA.

USERS—Telephone Information Operators.

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

Storage: Form 2723 (Rev. 6-72); Department of the Treasury.

Retrievability: Indexed by name.

Safeguards: 24-hour switchboard operation with controlled access.

Retention and disposal: Maintained until notice of change or employment is terminated. Disposal of records is by burning.

System manager(s) and address: Director, Office of Administrative Programs, Office of the Secretary, Washington, D.C. 20220.

Notification procedure: Director, Office of Administrative Programs, see above.

Record access procedures: Director, Office of Administrative Programs, see above.

Contesting record procedures: See System Manager.

Record source categories: Each individual Treasury employee.

Treasury/OS 00.194

System name: Library Circulation Control Records—Treasury/OS.

System location: U.S. Treasury Department, Office of Administrative Programs, Library Division, Room 5030, Treasury Building, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Library users.

Categories of records in the system: Individuals who borrow library materials, receive library materials on distribution, or request the purchase of library materials.

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: The information is used by the Library Staff to identify the location of materials withdrawn from the library collection and to distribute library publications in response to a request. For additional routine uses see Appendix AA.

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

Storage: Records are maintained in a card file. Serial records will also be placed on the computer during Fiscal Year 1976.

Retrievability: Files are maintained by individual name for material borrowed from the Library collection. A name file for individuals who receive periodicals in routing or who request the purchase of a serial publication will be available when serial records are placed on the computer during Fiscal Year 1976.

Safeguards: Information is not classified.

Retention and disposal: Records are kept as long as they are current.

System manager(s) and address: Chief, Library Division, Room 5010, Treasury Building, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: See System Manager.

Record access procedures: Access is by request, see System Manager.

Contesting record procedures: See System Manager.

Record source categories: Library users.

Treasury/OS 00.200

System name: Monthly Production Report, Reproduction Branch—Treasury/OS 00.200.

System location: Department of the Treasury, Annex, Madison Place and Pennsylvania Avenue, Washington, D.C. 22020.

Categories of individuals covered by the system: All Reproduction Pressmen.

Categories of records in the system: Monthly summation by press number/employee name of jobs and units produced, and a daily synopsis of time schedule.

Authority for maintenance of the system: The authority to collect the information is derived from, and/or is to be utilized to enable compliance with, one or more of the following: Title 5, United States Code, Chapters: 3, Sections 301 and 302; 43, Sections 4302, 4303, and/or 4308; 45, Section 4506; 55, Subchapters I, Section V, Sections 5541, 5542, and/or 5548; 63, Subchapter I, Sections 6303, 6304 and/or 6311; 75, Subchapter I, Joint Committee on Printing, Printing & Binding Regulations, Title IV, Para. 47.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information/paperwork necessary for completion of Joint Committee on Printing Form No. 1; Fiscal Year Planning and Estimation Report, and Annual Report; Employee and Machine Evaluation. It is used by employees who have a need for the records as authorized. For additional routine uses see Appendix AA.

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

Storage: Printed form.

Retrievability: By day/month/year and employee name.

Safeguards: Office physically secure after normal duty hours.

Retention and disposal: Retained for a minimum of 4 yrs.—shredded.

System manager(s) and address: Chief, Reproduction Branch, Department of the Treasury, Annex, Madison Place and Pennsylvania Avenue, Washington, D.C. 22020.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Information supplied by Reproduction Pressmen.

Treasury/OS 00.201

System name: Overtime Records, Reproductive Branch-Treasury/OS 00.201.

System location: Department of the Treasury, Annex, Madison Place and Pennsylvania Avenue, Washington, D.C. 22020.

Categories of individuals covered by the system: All employees working overtime for Reproduction Branch.

Categories of records in the system: On duty and departure times; job/jacket numbers; and total overtime hours worked.

Authority for maintenance of the system: The authority to collect the information is derived from, and/or is to be utilized to enable compliance with, one or more of the following: Title 5, United States Code, Chapters: 3, Sections 301 and 302; 43, Sections 4302, 4303, and/or 4308; 45, Section 4506; 55, Subchapters I, Section 5504, V, Sections 5541, 5542, and/or 5548; 63, Subchapters I, Sections 6303, 6304, and/or 6311; 75, Subchapter I, Title 31, United States Code, Section 66a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information is collected for the purposes of enabling accurate accounting and/or record maintenance of: TD Forms 2384, Time and Attendance Report, 3035, Report of Overtime Worked, 3036, Report of Overtime Worked Not Recorded on Form 2384—and related forms; job cost accounting for financial charges to customer Bureaus for services rendered during overtime hours; and employee and equipment evaluations; and necessary administrative processes and record maintenance carried out in accordance with existing regulations and published notices of systems of records. It is used by employees who have a need for the records as authorized. For additional routine uses see Appendix AA.

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

Storage: Printed form.

Retrievability: By day/month/year and employee name.

Safeguards: Office physically secure after normal duty hours.

Retention and disposal: Retained for a minimum of 4 yrs.—shredded.

System manager(s) and address: Chief, Reproduction Branch, Department of the Treasury, Annex, Madison Place and Pennsylvania Avenue, Washington, D.C. 22020.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Information supplied by Reproduction Branch employees.

Treasury/OS 00.195

System name: Parking Permit Application—Treasury/OS.

System location: The system of records is maintained at: (1) The Great Plaza Parking Lot, 14th & D Streets, N.W., Washington, D.C., in the custody of the Manager, and (2) General Services Division, Office of Administrative Programs, OS, Room 2213.

Categories of individuals covered by the system: Treasury employees who meet specified requirements for application, and are working in locations within the zone of consideration for parking at the Great Plaza Parking Lot.

Categories of records in the system: The card (GSA Form 7415) includes the following information: (1) Name of applicant; (2) Permit No.; (3) Organization; (4) Office Phone No.; (5) Home Address; (6) Home Phone No.; (7) Make of Car; (7a.) Type; (7b.) Model Year; (7c.) License No.—State—Year; (8) Applicant's signature; (9) Agency Parking Representative's signature. In addition, the applicant's car pool members are listed on the back of the card, along with their organization and office phone numbers. The system is set up by Permit Number.

Authority for maintenance of the system: See 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used only on an individual basis, by the holder of the Form 7415, on a monthly basis, in addition to a nominal fee for parking. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Records are maintained in a file cabinet and retained for six months, at which time GSA revises departmental quotas, eligibility requirements and card color, resulting in a new Treasury Department-wide survey and issuance of new parking permit applications.

System manager(s) and address: Assistant Director, General Services Division, Office of Administrative Programs, 1500 Penn. Ave., N.W., Main Treasury Building, Room 2213, Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: The information in this system came from individuals who are included in the system.

Treasury/OS 00.202

System name: Printing Procurement Charge Ticket, Printing Procurement-Treasury/OS 00.202.

System location: Department of the Treasury, 1325 G Street, Washington, D.C. 22020.

Categories of individuals covered by the system: All Printing Procurement Employees.

Categories of records in the system: Employee time allotment to Specialist or Technical Assistance and/or functions and steps performed as such necessary procurement methods recommendation; expenses in conjunction with assistance rendered; initials and date; Treasury Bureau receiving assistance.

Authority for maintenance of the system: The authority to collect the information is derived from, and/or is to be utilized to enable compliance with, one or more of the following: Title 5, United States Code, Chapters: 3, Sections 301 and 302; 43, Sections 4302, 4303, and/or 4308; 45, Section 4506; 55, Subchapters I, Section 5504, V, Sections 5541, 5542, and/or 5548; 63, Subchapter I, Sections 6303, 6304, and/or 6311; 75, Subchapter I; Public Law 91-614.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information is collected for the purposes of enabling accurate accounting and/or record maintenance of: employee time allotment to Specialist or Technical Assistance and/or functions and steps performed as such necessary procurement methods recommendation; expenses in con-

junction with assistance rendered; initials and date; Treasury Bureau receiving assistance. It will be used to enable accurate completion of: Assistance charge and/or incidental expenses computation for Treasury customer Bureaus under provisions of Working Capital Fund; employee evaluation and necessary administrative processes carried out in accordance with existing regulations and published notices of systems and records. It is used by employees who have a need for the records as authorized. For additional routine uses see Appendix AA.

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

Storage: Printed form.

Retrievability: By month/employee initials.

Safeguards: Office secure after normal duty hours.

Retention and disposal: Retain for a minimum of four years, then shredded.

System manager(s) and address: Printing Procurement Chief, Department of the Treasury, 1325 G Street, Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Information supplied by Printing Procurement employees.

Treasury/OS 00.196

System name: Physical Security Information System—Treasury/OS.

System location: Assistant Director (Physical Security), Office of Administrative Programs, Room 313, 1625 I Street, N.W., c/o Main Treasury Mailroom, Washington, D.C. 20220.

Categories of individuals covered by the system: Each Department of the Treasury official, who actually classifies a document using a national security classification, i.e., Top Secret, Secret, or Confidential.

Each Department of the Treasury official by name and position title, who have been delegated the authority to downgrade and declassify national security information and material. The authority is delegated only by a Departmental official authorized to exercise original classification authority for Top Secret or Secret Information or an official acting in that office.

Each Department of the Treasury official by name and position title, who have been delegated the authority for original classification of national security information and material as Confidential. This authority is delegated only by a Departmental official authorized to exercise original classification authority for Top Secret or Secret information or material or an official acting in that office.

An alphabetical listing of Department of the Treasury employees who are responsible for valid security violations regarding the handling of classified information or material. Each Department of the Treasury official who communicated or transferred classified information or material to an unauthorized person.

All Department of the Treasury and contractor personnel, employed in the metropolitan Washington, D.C. area, who utilized the building pass system for the Main Treasury and Annex Buildings.

Each Department of the Treasury official who has used an unnecessary national security classification, an over or under national security classification, or fails to assign the proper downgrading and declassification schedule, or improperly applies national security classification markings. It also includes any national security classification action by any official not authorized in writing to exercise appropriate classification or exemption authority or the improper delegation of such.

Categories of records in the system: (1) Report of Authorized Classifiers. (2) Report of Unauthorized Disclosures. (3) Request for Building Pass. (4) Record of Security Violations. (5) Report of Classification Abuses. (6) Report of Authorized Downgrading and Declassification Officials. (7) Data Index System for Originally Classified Documents within the Department of the Treasury.

Authority for maintenance of the system: Executive Order No. 11652, dated March 8, 1972. National Security Council Directive, dated May 17, 1972. Department of the Treasury Administrative Circular No. 242, Supplement No. 1, dated October 3, 1973. 31 CFR, Part 2.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The system is designed to assist the Interagency Classification Review Committee, Na-

tional Security Council, and the Department of the Treasury to (1) oversee compliance with Executive Order No. 11652 and Departmental programming and implementation; and (2) prevent improper classification of national security information and material; (3) to eliminate unauthorized disclosure and (4) to ensure prompt declassification of appropriate documents.

The system is utilized by the Office of the Assistant Director (Physical Security), Office of Administrative Programs, to ensure Departmental compliance with Executive Order No. 11652 and any implementing National Security Council Directives.

The system is used to (1) record details of valid security violations on any one employee for a three year period (2) assist in determining the effectiveness of the physical security program and (3) provide a basis for administrative or judicial actions, when such action is indicated. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: The building pass records are maintained for a period of an individual's eligibility for a building pass on Treasury Form No. 4074. These passes are valid for a period of five (5) years, unless sooner invalidated. Destruction of these records and actual passes is accomplished by shredding or other comparable means. The record of documents originally classified within the Treasury Department is maintained on Treasury Form No. 4029 (Data Index System Card) which are indexed according to office or bureau and in date order.

The record of classification abuse is maintained on Standard Form 322, and filed in file folders and is indexed according to office or bureau and name of official. The system is maintained on a quarterly basis, i.e., January 1, April 1, July 1 and October 1 of each year. The reports are destroyed and updated on the same quarterly basis.

The record of personnel authorized to classify documents is on Treasury Form No. 4036 and filed in file folders which is indexed according to office or bureau and name of official and position title. The system is maintained on a quarterly basis with the quarters being January 1, April 1, July 1 and October 1 of each year. The reports are destroyed and updated on the same quarterly basis.

A list of authorized persons for declassification action is maintained on Treasury Form No. 4037, in file folders and is indexed according to office or bureau and name of official and position title. The system is maintained on a quarterly basis, i.e., January 1, April 1, July 1 and October 1 of each year. The reports are destroyed and updated on the same quarterly basis.

The record of security violations is maintained on Treasury Form No. 3158 and related correspondence filed in file folders. The system is indexed alphabetically by name. The records on any one individual are maintained for a three year period at which time they are destroyed.

The record of unauthorized disclosures is maintained on Standard Form 323, in file folders and is indexed according to office or bureau and name of official responsible for the unauthorized disclosure. The system is maintained on a quarterly basis, i.e., January 1, April 1, July 1, and October 1 of each year. The reports are destroyed and updated on the same quarterly basis.

The information in the system is made available to those officials with a "need to know" and is secured in locked security containers.

System manager(s) and address: Assistant Director (Physical Security), Office of Administrative Programs, Room 313, 1625 I Street, N.W., c/o Main Treasury Mailroom, Washington, D.C. 20220.

Notification procedure: Assistant Director (Physical Security), Office of Administrative Programs, Room 313, 1625 I Street, N.W., c/o Main Treasury Mailroom, Washington, D.C. 20220.

Record access procedures: Assistant Director (Physical Security), Office of Administrative Programs, Room 313, 1625 I Street, N.W., c/o Main Treasury Mailroom, Washington, D.C. 20220.

Contesting record procedures: See Access above.

Record source categories: The sources of the information are offices and bureaus of the Department of the Treasury.

The information concerning any security violation is reported on Treasury Form No. 3158, as reported by the Treasury Security Force or Department of the Treasury security officials and the U.S. Department of State security officials as concerns Department of the Treasury personnel attached to U.S. Embassies.

The sources of the information are those offices and bureaus requesting a building pass utilized in the Main Treasury and Annex Buildings.

Treasury/OS 00.203

System name: Sign-in Sheet, Reproduction Branch-Treasury/OS.

System location: Department of the Treasury, Annex, Madison Place and Pennsylvania Avenue, Washington, D.C. 20220.

Categories of individuals covered by the system: All Reproduction Branch Employees.

Categories of records in the system: Arrival and Departure times, or total on-duty or off-duty times for each workday with leave category determination.

Authority for maintenance of the system: The authority to collect the information is derived from, and/or is to be utilized to enable compliance with, one or more of the following: Title 5, United States Code, Chapters: 3, Sections 301 and 302; 43, Sections 4302, 4303, and/or 4308; 45, Section 4506; 55, Subchapter I, Section 5504, V, Sections 5541, 5542, and/or 5548; 63, Subchapter I, Sections 6303, 6304, and/or 6311; 75, Subchapter I, Title 31, United States Code, Section 66a; Budget and Procedures Act of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: It will be used to enable accurate completion of TD Forms 2384, Time and Attendance Card—and related forms; employee and equipment evaluation. It is used by employees who have a need for the records as authorized. For additional routine uses see Appendix AA.

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

Storage: Printed form.

Retrievability: By day/month/year and employee name and social security number.

Safeguards: Office secure after normal duty hours.

Retention and disposal: Retain maximum three years, then shredded.

System manager(s) and address: Reproduction Branch Chief, Department of the Treasury, Annex, Madison Place and Pennsylvania Avenue, Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Information supplied by Reproduction Branch Employees.

Treasury/OS 00.197

System name: Wage Case Files. (Note: The terms "Economic Stabilization Program" (ESP) and "Cost of Living Council" (COLC or CLC) were often used interchangeably.)—Treasury/OS.

System location: Washington National Records Center (WNRC), Suitland, Maryland, 20409; Accession number 432-75-001.

Categories of individuals covered by the system: Employer-applicants for approval of wage adjustments, ESP, 1971-1974. Though most employers were corporations, a small percentage were individuals.

Categories of records in the system: Application for wage adjustment, with supporting economic data and correspondence, and dispositive records, including the Decision & Order (D&O), of the reviewing authority, e.g., the Pay Board, the Office of Wage Stabilization (COLC).

Authority for maintenance of the system: Economic Stabilization Act of 1970, as amended. Executive Order 11788, June 18, 1974.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Resolution of outstanding cases by litigation and administrative proceedings. User: General Counsels of the Departments of the Treasury and Justice. (2) Research to further the purpose of the Act (includes access to proprietary data). User: Council on Wage and Price Stability (CWPS). (3) Research and public disclosure (non-proprietary data only). User: General public. (4) For additional routine uses see Appendix AA.

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

Storage: Case files, paper.

Retrievability: Indexed by name and case number. Two separate indexes. Mostly computer print-outs, but some listed manually on paper and cards. These indexes are located in Room 1322, Main Treasury, and are available to the public on request for use on the premises.

Safeguards: Stored in federal records containers (boxes) on steel shelving in WNRC stack areas, which are security protected. Direct access by the public is not permitted. Access to proprietary data and policy records containing such data in identifiable form are generally exempt from disclosure, 5USC552(b) (4&5).

Retention and disposal: Scheduled for destruction by maceration January 1, 1985 under the authority of National Archives Job Number NC-432-75-2, item 2b, except for one per cent sample to be permanently retained, item 2a. Sample to be retained not yet decided.

System manager(s) and address: Chief, Document Management Branch, Office of Administrative Programs, Department of the Treasury, Room 2442, Washington, D.C., 20220. Telephone: (202) 964-8081.

Notification procedure: Supervisor, Document Storage & Retrieval Section, Office of Administrative Programs, Department of the Treasury, Room 1322, Washington, D.C., 20220. Telephone: (202) 964-2126. Additional Information: Address of individual at the time case was decided, case number, class or category of case, and date of Decision & Order will expedite retrieval.

Record access procedures: Either of the persons described under the headings "System Manager" and "Notification."

Contesting record procedures: See Access above.

Record source categories: Incoming: Furnished by the employer-applicant. Dispositive: Created by the reviewing authority.

Treasury/OS 00.204

System name: Weekly Activity Report, Printing Procurement Branch-Treasury/OS.

System location: Department of the Treasury, 1325 G Street, Washington, D.C. 20220.

Categories of individuals covered by the system: All employees of the Printing Procurement Branch.

Categories of records in the system: Employee summation of weekly activities.

Authority for maintenance of the system: The authority to collect the information is derived from, and/or is to be utilized to enable compliance with, one or more of the following: Title 5, United States Code, Chapters: 3, Sections 301 and 302; 43, Sections 4302, 4303, and/or 4308; 45, Section 4506; 55, Subchapter I, Section 5504, V, Sections 5541, 5542, and/or 5548; 63, Subchapter I, Sections 6303, 6304 and/or 6311; 75, Subchapter I.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information received serves as constitutive elements in Office or Branch Weekly Activity Report; employee evaluation; and Fiscal Year Annual, and Planning and Estimation Reports; and necessary administrative processes carried out in accordance with notice authorizations. It is used by employees who have a need for the records as authorized. For additional routine uses see Appendix AA.

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

Storage: Retained in forms submitted by employees.

Retrievability: By week and employee name.

Safeguards: Office physically secure after normal duty hours.

Retention and disposal: Retained five years and shredded.

System manager(s) and address: Printing Procurement Branch Chief, Department of the Treasury, 1325 G Street, Washington, D.C. 20220.

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Information supplied by Printing Procurement Employees.

Treasury/OS 00.300

System name: Personnel files—Treasury/OS.

System location: Department of the Treasury, Office of the Secretary, Office of the Special Assistant to the Secretary for Public Affairs, Room 2324, Washington, D.C. 20220.

Categories of individuals covered by the system: Employees in the Office of Public Affairs.

Categories of records in the system: SF 171s, Notification of within grade raises, Personnel action information, Letters of appreciation.

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: Records used by timekeeper for leave purposes; by supervisor, when information is needed; by employees, when requesting information from their files. For additional routine uses see Treasury Appendix AA.

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

Storage: Copies of original documents in file folders in safe.

Retrievability: Filed alphabetically by employee's last name.

Safeguards: Only the two persons authorized to use the safe have access to personnel files; Deputy Special Assistant to the Secretary for Public Affairs and his secretary.

Retention and disposal: Records are kept until employee is separated from office and files are then sent to St. Louis for storage.

System manager(s) and address: Deputy Special Assistant to the Secretary for Public Affairs, Office of the Secretary, Room 2324, Main Treasury, Washington, D.C. 20220.

Notification procedure: Inquiries should be addressed to the Deputy Special Assistant to the Secretary for Public Affairs: Department of the Treasury, Room 2324, Washington, D.C. 20220 or if he is not available, his secretary, same address. The individual must be inquiring about his own records and clearly identify himself, if not known to the persons named above.

Record access procedures: To obtain information on procedures for gaining access to and contesting records, mail the request to the Systems Manager.

Contesting record procedures: See Access above.

Record source categories: Information for the personnel records are obtained from: 1. Office of the Secretary Personnel Division; 2. Information provided by employees themselves; and 3. Copies of letters from officials congratulating employees for special achievements.

Treasury/OS 00.400

System name: Merit System Complaints—Treasury/OS.

System location: Office of the Director, Office of Audit, Room 902, 1025 Vermont Ave. N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Employees who have a basis for believing that Civil Service personnel laws or rules are being violated, and the matter is not appropriate for the grievance or appeals procedure.

Categories of records in the system: Letters, personnel documents, memorandums, investigation reports, and extracts from investigation files.

Authority for maintenance of the system: Memorandum from the Secretary of the Treasury, dated November 21, 1974.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To furnish direction and suggestions to Treasury Personnel Office for follow-up action.

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

Storage: Locked combination safe.

Retrievability: By name.

Safeguards: Locked safe, access by Director of office only.

Retention and disposal: One year after matter resolved, material is then shredded.

System manager(s) and address: Office of Audit, Director 902, 1025 Vermont Avenue, N.W., Washington, D.C. 20220.

Notification procedure: System proposed for exemption.

Record access procedures: System proposed for exemption.

Contesting record procedures: System proposed for exemption.

Record source categories: Complainant, official personnel files, investigation files and grievance files.

Systems exempted from certain provisions of the act: This system is proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 10.001

System name: Biographical Files, Public Affairs—Treasury/IRS.

System location: National, Regional and District Offices and Service Centers (see IRS Appendix A).

Categories of individuals covered by the system: IRS Employees.

Categories of records in the system: Records are biographical data on key IRS employees.

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: The contents of these records are available to the public pursuant to the Freedom of Information Act, 5 U.S.C. 552. For additional routine uses see Appendix AA.

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

Storage: Stored in file cabinets without locks.

Retrievability: By name.

Safeguards: Office doors locked at night.

Retention and disposal: Generally governed by the Records Management Handbook IRM 1(15)59.

System manager(s) and address: Assistant to the Commissioner (Public Affairs), Regional, District and Service Centers (see IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs), IRS, Washington, D.C. 20224.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs) IRS, Washington, D.C. 20224.

Contesting record procedures: See Access.

Record source categories: Information is supplied by the IRS official on an IRS biographical data form.

Treasury/IRS 10.002

System name: By-Line Files, Public Affairs—Treasury/IRS.

System location: National, Regional and District Offices and Service Centers (see IRS Appendix A).

Categories of individuals covered by the system: Writers of articles of interest to IRS.

Categories of records in the system: Primarily newspaper and magazine clippings.

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: The contents of these records are available to the public pursuant to the Freedom of Information Act, 5 U.S.C. 552. For additional routine uses see Appendix AA.

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

Storage: Records are stored in file cabinets without locks.

Retrievability: By subject, including individual names.

Safeguards: Office doors locked at night.

Retention and disposal: Governed generally by the Records Management Handbook IRM 1(15)59.

System manager(s) and address: Assistant to the Commissioner (Public Affairs), Regional, District and Service Centers (see IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs), IRS, Washington, D.C. 20224.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs), IRS, Washington, D.C. 20224.

Contesting record procedures: See Access.

Record source categories: Newspapers and Magazines.

Treasury/IRS 10.003

System name: Intelligence Clips, Public Affairs—Treasury/IRS.

System location: National, Regional and District Offices and Service Centers (see IRS Appendix A.).

Categories of individuals covered by the system: Records are maintained on individuals who are of interest to the IRS, generally those whose names have been mentioned in the press in connection with their relationship with IRS.

Categories of records in the system: Records are primarily newspaper and magazine clippings about taxpayers and IRS Intelligence Division.

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: The contents of these records are available to the public pursuant to the Freedom of Information Act, 5 U.S.C. 552. For additional routine uses see Appendix AA.

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

Storage: Paper and microfiche. Records are stored in file cabinets without locks.

Retrievability: Accessible by subject including individual names.

Safeguards: Office doors locked at night.

Retention and disposal: Generally governed by the Records Management Handbook IRM 1(15)59.

System manager(s) and address: Assistant to the Commissioner (Public Affairs), Regional, District and Service Centers (see IRS Appendix A.).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs), IRS, Washington, D.C. 20224.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs), IRS, Washington, D.C. 20224.

Contesting record procedures: See Access.

Record source categories: Sources of clips are newspapers and magazines.

Treasury/IRS 10.004

System name: Subject Files, Public Affairs—Treasury/IRS.

System location: National, Regional and District Offices and Service Centers (see IRS Appendix A.).

Categories of individuals covered by the system: Records are maintained on individuals who are of interest to the IRS, generally those whose names have been mentioned in the press in connection with their relationship with IRS.

Categories of records in the system: The records include correspondence, newspaper clippings, inter-office memoranda and similar documents.

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: The contents of these records are available to the public pursuant to the Freedom of Information Act, 5 U.S.C. 552. For additional routine uses see Appendix AA.

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

Storage: Records are stored in file cabinets without locks.

Retrievability: Alphabetical by subject.

Safeguards: Office doors locked at night.

Retention and disposal: Generally governed by the Records Management Handbook IRM 1(15)59.

System manager(s) and address: Assistant to the Commissioner (Public Affairs), Regional, District and Service Centers (see IRS Appendix A.).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs), IRS, Washington, D.C. 20224.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs), IRS, Washington, D.C. 20224.

Contesting record procedures: See Access.

Record source categories: Records are generally correspondence with persons outside IRS, news media, internal documents and memoranda and similar sources.

Treasury/IRS 10.005

System name: Tax Case Files, Public Affairs—Treasury/IRS.

System location: National, Regional and District Offices and Service Centers (see IRS Appendix A.).

Categories of individuals covered by the system: Individual taxpayers.

Categories of records in the system: Primarily newspaper clippings on taxpayers whose tax litigation activities are reported by the newspapers. Records include correspondence, inter-office memoranda and similar documents.

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: The contents of these records are available to the public pursuant to the Freedom of Information Act, 5 U.S.C. 552. For additional routine uses see Appendix AA.

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

Storage: Records are stored in file cabinets without locks.

Retrievability: By subject and individual names.

Safeguards: Office doors locked at night.

Retention and disposal: Generally governed by the Records Management Handbook IRM 1(15)59.

System manager(s) and address: Assistant to the Commissioner (Public Affairs), Regional, District and Service Centers (see IRS Appendix A.).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs), IRS, Washington, D.C. 20224.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs), IRS, Washington, D.C. 20224.

Contesting record procedures: See Access.

Record source categories: Primarily news media clippings.

Treasury/IRS 10.006

System name: Technical Information Release Mailing List, Public Affairs—Treasury/IRS.

System location: Assistant to the Commissioner (Public Affairs), Washington, D.C. 20224.

Categories of individuals covered by the system: Lists are names and addresses of organizations and individuals to whom IRS Technical Information Releases are mailed.

Categories of records in the system: Records are card files of names and addresses, by zip code.

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 Appendix AA.

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

Storage: Records are stored in file cabinets without locks.

Retrievability: Accessible by individual or organizational names.

Safeguards: Office doors locked at night.

Retention and disposal: Generally governed by the Records Management Handbook IRM 1(15)59.

System manager(s) and address: Assistant to the Commissioner (Public Affairs), Washington, D.C. 20224.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs), IRS, Washington, D.C. 20224.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs), IRS, Washington, D.C. 20224.

Contesting record procedures: See Access.

Record source categories: Source is voluntary written request for inclusion on list.

Treasury/IRS 10.007

System name: Public Speaking and Other Public Appearances, Public Affairs—Treasury/IRS.

System location: Region, District Offices and Service Centers (see IRS Appendix A).

Categories of individuals covered by the system: IRS employees who are selected as representatives of IRS to appear before community group and radio and television audiences.

Categories of records in the system: Records are card files and lists of names of individuals.

Authority for maintenance of the system: IRM 1(19)00

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

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

Storage: Records are stored in file cabinets.

Retrievability: By name or function.

Safeguards: Office doors locked at night.

Retention and disposal: Continuously updated and extraneous material destroyed.

System manager(s) and address: Assistant to the Commissioner (Public Affairs), Regional, District and Service Centers.

Notification procedure: Same as Access.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant to the Commissioner (Public Affairs), IRS, Washington, D.C. 20224.

Record source categories: Information is supplied by individual himself.

Treasury/IRS 22.001

System name: Actuary Mailing File (AMF), ACTS: A—Treasury/IRS.

System location: IRS Andover Service Center only. (See IRS Appendix A).

Categories of individuals covered by the system: Individuals on whom records are maintained are Actuaries, enrolled under Section 3042 of the Employee Retirement Income Security Act.

Categories of records in the system: The type of record maintained is the Actuary's name, address, enrollment number, social security number, office phone number, date of enrollment, date of renewal and expiration of enrollment indicator.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial process. For additional routine uses see Appendix AA.

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

Storage: Magnetic Tape.

Retrievability: Name or serial number of the Actuary.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: The policies and practices regarding storage, retention, and disposal are as specified in the Records Retention Handbook.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS), Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.002

System name: Airway Use Tax Registrant, Data, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers (see IRS Appendix A).

Categories of individuals covered by the system: Individual or businesses that have registered new aircraft with the Federal Aviation Administration (FAA).

Categories of records in the system: The records come from the FAA Supplemental File and are edited at NCC to delete all but information on new airplane registrations.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Computer printout.

Retrievability: Name of registrant.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Register is destroyed after case has been sent to the district office for personal contact.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers (see IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.003

System name: Annual Listing of Undelivered Refund Checks, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers and District Offices (see IRS Appendix A).

Categories of individuals covered by the system: Taxpayers whose refund checks have been returned as undeliverable since the last Annual Listing of Undelivered Refund Checks was produced.

Categories of records in the system: Taxpayer entity information (Name, Street Address, City, State, Zip Code and Taxpayer Identification Number) and records containing tax module information (Tax Period, Amount of Credit Balance and Control Document Locator Number).

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper document stored in files.

Retrievability: Information is retrievable by taxpayer's name.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: The policies and practices regarding retention and disposal are as specified in the Records Retention Handbook published by the Service.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining

the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.004

System name: Audit Control File, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers (see IRS Appendix A).

Categories of individuals covered by the system: Employees who accessed a specific taxpayer's account.

Categories of records in the system: A record log of every transaction posted to the Integrated Data Retrieval System (IDRS) according to the employee who input it and the terminal through which it posted.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made during judicial processes. Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. For additional routine uses see Appendix AA.

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

Storage: Magnetic Tape

Retrievability: Alphabetically, by name of employee.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Permanent retention.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Computer statistical record of all transactions input to the Integrated Data Retrieval System.

Treasury/IRS 22.005

System name: Audit Underreporter Case File, ACTS: A—Treasury/IRS.

System location: National Computer Center (NCC) Martinsburg, W. Va. (See IRS Appendix A.)

Categories of individuals covered by the system: Recipients of income who appear not to have declared on their income tax returns (Forms 1040 and 1040A) all income paid to them in the tax year under study.

Categories of records in the system: Records maintained are taxpayer (i.e., payee) entity records containing payee name, address, taxpayer identification number, and other indicators relating to entity maintenance; and income records containing the types and amounts of income received, and information identifying the income payer.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: On magnetic tape.

Retrievability: By matching on SSN and name control.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retained for one year; then data are magnetically erased.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS), National Office, Officials maintaining the system—Directors, Internal Revenue Service Centers. See IRS Appendix A for locations.

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system has been proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 22.011

System name: Card Index File of Erroneous Refunds (ACTS)—Treasury/IRS.

System location: Memphis Internal Revenue Service Center. (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayers issued erroneous refunds.

Categories of records in the system: Case reference name, number, control number, date of erroneous refund, statute expiration date, status of case and location.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

For additional routine uses see Appendix AA.

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

Storage: Card file.

Retrievability: Retrieved by name.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retained four years then destroyed.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.012

System name: Collection Case File, ACTS: A—Treasury/IRS.

System location: National Computer Center (NCC), Martinsburg, W. Va. (See IRS Appendix A.)

Categories of individuals covered by the system: Recipients of income who appear not to have filed income tax returns (Forms 1040 or 1040A) for the tax year in which that income was paid to them.

Categories of records in the system: Records maintained are taxpayer (i.e., payee) entity records containing payee name, address, taxpayer identification number, and other indicators relating to entity maintenance; and income records containing the types and amounts of income received, and information identifying the income payer.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes.

For additional routine uses see Appendix AA.

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

Storage: On magnetic tape.

Retrievability: By matching on SSN and name control.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retained for up to one and a half years, then data are magnetically erased.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System exempted elsewhere in the Federal Register.

Treasury/IRS 22.013

System name: Combined Account Number File, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system: Individuals and businesses having specific, current business with IRS.

Categories of records in the system: Taxpayer entity records (name, address, taxpayer identification number, and filing requirements related to entity liability); and tax modules (specific tax returns, tax years, and transactions which have been recorded relative to the module) when specifically requested by a service center, or if a notice for balance of tax due has been issued; a specific tax period is in taxpayer delinquent account status (TDA); a specific tax period is either credit or debit balance; no return has posted and the return due date (RDD) has passed; or when a specific tax period is in taxpayer delinquent return (TDI) status.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes.

For additional routine uses see Appendix AA.

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

Storage: Disk storage.

Retrievability: Social security number or employer identification number.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: The policies and practices regarding storage, retention and disposal are governed by the principle that a specific tax period will be retained on the file dependent upon specified criteria prescribed in various Accounts and Data Processing Handbooks (ADP Handbooks). The disposal of documents output from this file is specified in the Records Retention Handbook published by the Service and in various Accounts and Data Processing Handbooks.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.014

System name: Discriminant Function File (DIF), ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system: Individuals whose Forms 1040 and 1040A have a DIF Score higher than a cutoff score determined by Audit Division, indicating high audit potential. The DIF Score is the computation of Audit potential, based on formulae prescribed by Audit.

Categories of records in the system: Document Locator Number of the return, the Regional and District Offices of the taxpayer, the taxpayer's DIF Score and data from the individual's Income Tax Return needed to conduct an audit of his return.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes.

For additional routine uses see Appendix AA.

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

Storage: By magnetic tape and computer printout.

Retrievability: By individual's Social Security Number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retained for three years. Disposed of thereafter.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purpose of determining, if the system contains a record pertaining to a particular individual.

Record access procedures: This System of records may not be accessed for the purpose of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system is proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 22.017

System name: Employer Inquiry Look-Up for TDA Inquiries, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system: Individual taxpayers who have paid Federal Insurance Contributions Act (FICA), wages to the Social Security Administration (SSA) through the 3rd quarter of the year and those taxpayers who file Federal Individual Income Tax returns Form 1040 and 1040A through the Individual Master File (IMF) Delinquency and Underreporting Program (WAID).

Categories of records in the system: Taxpayer's name, taxpayer's address, taxpayer's identification number, taxpayer's wages, taxpayer's marital status, taxpayer's employer's name/s, employer's address, employer's identification number, tax period and other indicators relating to the program operation.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

For other routine uses see Appendix AA.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes.

For additional routine uses see Appendix AA.

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

Storage: Magnetic tape.

Retrievability: Tape search by taxpayer name or identity number.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: The file is maintained approximately for six months and then destroyed and recreated as updated information is received from SSA or WAID.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may

inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.024

System name: Form 1042 Index Register, ACTS: A—Treasury/IRS.

System location: Philadelphia Service Center. (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayers whose taxes are covered by IRC Chapter 3 Withholding.

Categories of records in the system: Records include taxpayer's name and address, tax data, and withholding agent's Employer Identification Number and name.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

For additional routine uses see Appendix AA.

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

Storage: Microfilm.

Retrievability: Withholding agent EIN.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retained at PSC 5-years, then at Federal Records Center 25 years.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Director, Philadelphia Internal Revenue Service Center. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject

to the amendment provisions of the Privacy Act. (See IRS Appendix A.)

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.025

System name: Form 1042 Name Directory, ACTS: A-Treasury/IRS.

System location: Philadelphia Service Center (see IRS appendix A).

Categories of individuals covered by the system: Taxpayers whose taxes are covered by IRC Chapter 3 Withholding.

Categories of records in the system: Taxpayer name and address and Employer Identification Number and name of withholding agent.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

For additional routine uses, see Appendix AA.

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

Storage: Microfilm.

Retrievability: By name of withholding agent.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retained at PSC 5 years, then at Federal Records Center 25 years.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Director, Philadelphia Internal Revenue Service Center (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act. (See IRS Appendix A.)

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.026

System name: FORM 1042S Index By Name of Recipient, ACTS: A/Treasury-IRS.

System location: PHILADELPHIA SERVICE CENTER (See IRS Appendix A).

Categories of individuals covered by the system: Non-resident aliens and U.S. citizens living abroad whose taxes are covered by IR Chapter 3 Withholding.

Categories of records in the system: Information provided by taxpayer including name, address, tax data, country of residence and Employer Identification Number of withholding agent.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosures may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

For additional routine uses see Appendix AA.

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

Storage: Microfilm.

Retrievability: By taxpayer name.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retained at PSC 5 years, then at Federal Records Center 25 years.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Director, Philadelphia Internal Revenue Service Center (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act. (See IRS Appendix A.)

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.027

System name: Forms filed by U.S. Citizens or Residents relating to Foreign Companies, ACTS-Treasury/IRS.

System location: Philadelphia Internal Revenue Service Center and its servicing Federal Records Centers (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers who file Forms: 957—Foreign Personal Holding Company; 958—Foreign Personal Holding Company; 959—Return by an Officer, Director, or Shareholder—With Respect to the Organization or Reorganization of a Foreign Corporation and Acquisition of its Stock.

Categories of records in the system: Forms filed by the taxpayer and case documents determined by the Service to be related.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

(See IRS Appendix A).

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

Storage: These are paper document files.

Retrievability: Documents are stored and retrieved by Document Locator Numbers.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retention and Disposal Instructions for paper documents in these files is as specified in the Records Disposition Handbook, Service Centers, IRM 1(15)59-206.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act. (See IRS Appendix A).

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.028

System name: IDRS Security Profile System, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers (See IRS Appendix A).

Categories of individuals covered by the system: Individual employees on whom records are retained.

Categories of records in the system: A record log of the employees (IDRS users) and containing pertinent data for identifying each user.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The file is used to verify the employee's authorization to access records retained on IDRS. It is so used at the moment of attempted access to the computer files.

The file is used to generate the identifying employee number of the using employee to be recorded on the computer retained disk files or on printed matter produced by the computer for purposes of case control or document routing.

The file is used in connection with computerized security routines to produce printed reports that are used by IRS internal security personnel to monitor use of IDRS.

Use is restricted to IRS personnel and there are no routine uses in connection with other Federal agencies.

For additional routine uses, see Appendix AA.

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

Storage: Disk storage.

Retrievability: By name and code number.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: The records are updated daily or weekly depending on the activity.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act. (See IRS Appendix A).

Contesting record procedures: See Access above.

Record source categories: Information supplied by the IRS employee on standard personnel forms.

Treasury/IRS 22.029

System name: Individual Account Number File, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers (See IRS Appendix A).

Categories of individuals covered by the system: Individuals having specific, current business with IRS.

Categories of records in the system: Taxpayer entity records (name, address, taxpayer identification number, and filing requirements related to entity liability); and tax modules (specific tax returns, tax years, and transactions which have been recorded relative to the module) when specifically requested by a service center, or if a notice for balance of tax due has been issued; a specific tax period is in taxpayer delinquent account status (TDA); a specific tax period is either credit or debit balance, no return has posted and the return due date (RDD) has passed; or when a specific tax period is in taxpayer delinquent return (TDI) status.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. For additional routine uses, see Appendix AA.

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

Storage: Disk storage.

Retrievability: Social security number.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: The policies and practices regarding storage, retention and disposal are governed by the principle that a specific tax period will be retained on the file dependent upon specified criteria prescribed in various Accounts and Data Processing Handbooks (ADP Handbooks). The disposal of documents output from this file is specified in the Records Retention Handbook published by the Service and in various Accounts and Data Processing Handbooks.

System manager(s) and address: Officials prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act. (See IRS Appendix A).

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.030

System name: Individual Master File (IMF); ACTS A—Treasury/IRS.

System location: National Computer Center (NCC), Martinsburg, West Virginia.

Categories of individuals covered by the system: Taxpayers who file Federal Individual Income Tax Returns (i.e. Forms 1040, 1040A).

Categories of records in the system: Taxpayer entity records (name, address, identification number (SSN) and other indicators pertaining to entity maintenance, including Zip Code), and tax modular records which contain all records relative to specific tax returns for each applicable tax period or year. Recorded here are tax transactions such as tax amount, additions, abatements of tax payments, interest and like type transactions recorded relative to each tax module.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes. For additional routine uses, see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: By identification number and alphabet.

Storage: Magnetic Tape.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: As specified in the Records Retention Handbook published by the Service.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act. (See IRS Appendix A).

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.031

System name: Individual Master File Change and Adjustment Document File, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers and Federal Records Centers (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers who have had changes made to their accounts either at their request or by the service.

Categories of records in the system: 5143—Tax Transfer Schedule, 1127—Application for Extension of Time for Payment of Tax, 1247—Examination Record, 1664—Undelivered Return Check Freeze Release, 1664PR—Disbursing Center Notification of Undelivered Refund Checks and/or Cancellation, 1962—Advance Payment Record, 2158—Credit Transfer Voucher, 2287—Dishonored Check Posting Voucher, 2287D—Advice of Dishonored Check, 2350—Application for Extension of Time for Filing U.S. Income Tax Return, Citizen Abroad, 2363—Master File Entity Change, 2424—Account Adjustment Voucher, 2650—TDA/TDI Transfer, 2688—Application for Extension of Time to File U.S. Individual Income Tax, 2710—Appellate Division Action and Transmittal Memorandum, 2758—Application for Extension of Time to File U.S. Fiduciary or Partnership Return, Non-Remittance, 3177A/B—Notice of Action for Entry on Master File, 3244—Payment Posting Voucher, 3245—Cancellation or Repayment, 3258—Summary Transfer Voucher, 3354—Assessment Adjustment Document, 3413—Transaction List of Account Transfer-In, 3446—Notice of Federal Tax Due, 3552—Statement of Tax Due on Federal Tax Return (Part 4), 4732—Special Tax Receipts (11, 11B) (CP 444), 4733—Special Tax Receipt (CP 445), 4768—Application for Extension of Time to File U.S. Estate Tax Return and/or Pay Estate Tax, 4779—Statement of Use Tax Due IRS on Highway Motor Vehicles, 4839—3rd Notice (Balance Due), 4840—4th Notice (Balance Due), 4848—Annual Employer Return for Employees' Pension or Profit Sharing Plans, 4849—Financial Statement of Employees' Pension or Profit Sharing Fund or Fiduciary Account, 4901-04—Request for Information About Tax Return—First, Second, Third and Fourth Notice, 4907—TDA, 4915—RMF, Balance Due (CP 411), 4917—RMF, Balance Due Less than

1.00 (CP 413), 4918—RMF, No Math Error, Balance Due (CP 414), TY-D14—Taxpayer Delinquency Investigation, TY-15—Unidentified and Excess Collection Voucher, TY-16—Tax Transfer Schedule, TY-26—Statement of Tax Due IRS, TY-

54—Posting Voucher, TY-D69—Taxpayer Delinquent Account, W-2—Wage and Tax Statement, W-2P—Statement for Recipients of Annuities, Pension or Retired Pay.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

For additional routine uses, see Appendix AA.

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

Storage: Paper Document files.

Retrievability: Document Locator Numbers.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retention and Disposal Instruction for paper document in these files is as specified in the Records Disposition Handbook, Service Centers, IRM 1(15)59-206.

System manager(s) and address: Officials prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act. (See IRS Appendix A).

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.032

System name: Individual Master File (IMF) Microfilm Retention Register, ACTS: A—Treasury/IRS.

System location: All IRS Service Centers and District Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Categories of individuals on whom records are maintained are individual taxpayers who file Federal individual tax returns (Forms 1040 or 1040A).

Categories of records in the system: The categories of records maintained are abstracts of tax and/or entity modules that have been removed from the IMF. These abstract records indicate the taxpayer name, identification number, specific tax returns, document locator number, tax years, debit and credit amounts, balances, and other transactions which have been recorded relative to the module(s).

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Microfilm Tape.

Retrievability: IMF Reference Register, SSN Tax Period and name (explained in the Research Operations Handbook).

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: The policies and practices regarding storage, retention, and disposal are as specified in the Records Retention Handbook (330-731) published by the Service.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.033

System name: Individual Master File (IMF) 608 and 388 Microfilm Retention Register, ACTS: A—Treasury/IRS.

System location: All IRS Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Categories of individuals on whom records are maintained are individual taxpayers who file Federal individual tax returns (Forms 1040 or 1040A).

Categories of records in the system: The categories of records maintained are abstracts of tax and entity modules containing a credit (TC 608) or debit (TC 388) that is written off when the module is removed from the IMF (magnetic tape) to the IMF (microfilm) 608 and 388 Retention Register. This register shows the taxpayer's name, identification number, specific tax returns, amount of credit or debit that has been written off, tax years and other transactions which have been recorded relative to the module before removal from the IMF (magnetic tape).

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the

Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Microfilm Tape.

Retrievability: IMF Reference Register, SSN, Tax period and Name (Explained in the Research Operations Handbook).

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: The policies and practices regarding storage, retention, and disposal are as specified in the Records Retention Handbook.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.034

System name: Individual Returns Files, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers and Federal Records Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers who file Forms in the 1040 series including any schedules and Forms 5329, 1040 U.S. Individual Income Tax Return, 1040A U.S. Individual Income Tax Return—Short Form, 1040ES Declaration of Estimated Tax for Individuals, 1040ES (Spanish) Declaration of Estimated Tax for Individuals (Puerto Rico), 1040ES (OIO) Declaration of Estimated Tax for Individuals—Non-Resident Alien Individuals, 1040NB U.S. Non-Resident Alien Income Tax Return, 1040NR U.S. Non-Resident Alien Income Tax Return, 1040B U.S. Non-Resident Alien Income Tax Return, 1040C U.S. Departing Alien Income Tax Return.

Categories of records in the system: Forms filed by the taxpayer and case documents determined by the Service to be related.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: These are paper document files.

Retrievability: Documents are stored and retrieved by Document Locator Numbers.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retention and Disposal Instructions for paper documents in these files is as specified in the Records Disposition Handbook, Service Centers, IRM 1(15)59-206.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.036

System name: Interest Equalization Tax Forms File, ACTS: A—Treasury/IRS.

System location: Federal Records Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers who filed Forms: 3969—Notice of Acquisition of Original or New Japanese Debt Obligation, 4410—Interest Equalization Tax—Quarterly Return of Tax Withheld by Participating Firm, 4363—Notice of Acquisition of Stock Pursuant to Conversion of an Original or New Japanese Debt Obligation, 4322—Validation Certificate of Prior American Ownership and Interest Equalization Tax Compliance, 3845—Interest Equalization Tax—Broker's Quarterly Information Return, 3779—Notice of Acquisition of Original or New Canadian Stock or Debt Obligation.

Categories of records in the system: Forms filed by the taxpayer and case documents determined by the Service to be related.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: These are paper document files.

Retrievability: Documents are stored and retrieved by taxpayer name.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retention and Disposal Instructions for paper documents in these files is as specified in the Records Disposition Handbook, Service Centers, IRM 1(15)59-206.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.037

System name: IRS Employee Delinquency Notice List, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers, Regional Offices, and National Office. (See IRS Appendix A).

Categories of individuals covered by the system: IRS employees who have been sent notices (Forms 4901) informing them that they appear not to have filed individual income tax returns (Forms 1040 and 1040A) for a certain tax year.

Categories of records in the system: Records maintained are records containing the individual's name, address, taxpayer identification number (social security number), and other indicators relating to the salary and location of the individual. As cases have been worked, the service center's list is annotated with the disposition of each case.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

For other routine uses see Appendix AA.

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

Storage: Hardcopy printouts are maintained in agency offices.

Retrievability: By employee SSN and name.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Specified in Records Disposition Handbook.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.039

System name: Miscellaneous Forms Files, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers and Federal Records Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers who file forms: 56—Notice of Fiduciary Relationship, 678—Special Tax Return: Application for Registry and Special-Tax Stamp Opium, etc., 709—U.S. Quarterly Gift Tax Return, 1964—Certification of Exempt Official (Narcotics), 2031—Waiver Certificate to Elect Social Security Coverage for Use by Ministers, Certain Members of Religious Orders, and Christian Science Practitioners, 2063—U.S. Departing Alien Income Tax Statement, 2555—Statement to Support Exemption of Income Earned Abroad, 2950—Statement in Support of Deduction for Payments to an Employee's Pension, Profit-Sharing, Stock Bonus Trust or Annuity Plan and Compensation Under a Deferred-Payment Plan, 3115—Application for Change in Accounting Method, 3491—Exemption Application, 3520—Creation of or Transfers to Certain Foreign Trusts, 4361—Application for Exemption from Self-Employment Tax for Use by Ministers, Members of Religious Orders and Christian Science Practitioners, 4415—Election to Exempt From Self-Employment Coverage Fees Received by Certain Public Officers and Employees of a State or a Political Subdivision Thereof, 4908—Declaration of a Candidate for Public Office Receiving Political Contributions Qualifying for Credit or Deduction.

Categories of records in the system: Forms filed by the taxpayer and case documents determined by the Service to be related.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26

(CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: These are paper document files.

Retrievability: Documents are stored and retrieved by taxpayer name.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retention and Disposal Instructions for paper documents in these files is as specified in the Records Disposition Handbook, Service Centers, IRM 1(15)59-206.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.040

System name: Multiple Refund File, ACTS: A—Treasury/IRS.

System location: Austin Service Center. (See IRS Appendix A).

Categories of individuals covered by the system: Tax return preparers or other individuals who prepare possibly fraudulent, bogus, or otherwise illegal returns and preparers who use their own address as the taxpayer's address.

Categories of records in the system: Names and addresses used on returns; names and addresses of preparers; correspondence pertaining to these.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the

United States, to assist in the administration of tax laws. For additional routine uses see Appendix AA.

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

Storage: Filed in folders, by districts, in file cabinets.

Retrievability: Alphabetically by taxpayer name.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retention and disposal instructions for paper documents in this file is as specified in the Records Disposition Handbook, Service Centers, IRM 1(15)59-206.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Director, Internal Revenue Austin Service Center. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: Proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 22.042

System name: Penalty Case File ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers and Federal Records Centers. See IRS Appendix A for locations.

Categories of individuals covered by the system: Taxpayers who have had substantial penalties assessed to their accounts.

Categories of records in the system: Forms filed by the taxpayer and case documents determined by the Service to be related.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Magnetic Tape.

Retrievability: By name, type of tax, and identifying number.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: As specified in the Records Retention Handbook published by the Service.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). National Office. Officials maintaining the system—Directors, Internal Revenue Service Centers. See IRS Appendix A for locations.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. See IRS Appendix A for locations.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. See IRS Appendix A for locations.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.043

System name: Potential Refund Litigation Case Files, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers and Federal Records Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayer who have indicated to the Service that they may file suit against the service for a refund.

Categories of records in the system: Forms filed by the taxpayer and case documents determined by the Service to be related.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report the apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: This is a paper document file.

Retrievability: Documents are stored and retrieved by taxpayer name.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: Retention and Disposal Instruction for paper document in these files is as specified in the Records Disposition Handbook, Service Centers, IRM 1 (15) 59-206.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing

procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.044

System name: P.O.W.—M.I.A. Reference File, ACTS: A—Treasury/IRS.

System location: Austin Service Center and each district office. (See IRS Appendix A).

Categories of individuals covered by the system: P.O.W./M.I.A.—originated from Department of Defense lists.

Categories of records in the system: Lists of P.O.W./M.I.A., Regulations, Rulings, and Instructions as to how to handle specific tax questions relating to their special tax status, copies of individual tax returns, claims, and other documents germane to specific cases.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper documents in file folders.

Retrievability: Cases filed alphabetically by last name.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: All cases have been retained and no current provisions have been established for disposal.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Director, Internal Revenue Austin Service Center and District Directors of Internal Revenue. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedure for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.046

System name: Residual Master File (RMF) ACTS—Treasury/IRS.

System location: Internal Revenue Service Centers (Currently there are 10 such centers). See IRS Appendix A for locations.

Categories of individuals covered by the system: Persons in a sole proprietorship role who file Excise Tax Returns (Form 11), Wagering Returns (Form 11C), Highway Use Returns (Form 2290), and Airways Use Returns (Form 4638) and Estate and Gift Taxes (Form 706 and 709), the latter can be individuals not in a sole proprietorship role.

Categories of records in the system: Taxpayer entity records (name, address, identification name (TIN) which may be either EIN or SSN, and other indicators pertaining to entity maintenance, including Zip Code), and tax modules which are all the records relative to specific tax returns for each applicable tax period. Recorded are tax transactions such as tax amount, statements/additions to tax, payments, interest and like type transactions relative to each tax module.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related Acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Magnetic Tape.

Retrievability: By name, type of tax, and identifying number.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: As specified in the Records Retention Handbook published by the Service.

System manager(s) and address: Official prescribing policies and practices, Assistant Commissioner (ACTS). Officials maintaining the system, Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with Instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with Instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.047

System name: Residual Master File Change and Adjustment Document File, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers and Federal Records Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers who have had changes made to their accounts either at their request or by the service.

Categories of records in the system: 5143—Tax Transfer Schedule, 1247—Examination Record, 1962—Advance Payment Record, 2158—Credit Transfer Voucher, 2287—Dishonored Check Posting Voucher, 2287D—Advice of Dishonored Check, 2363—Master File Entity Change, 2424—Account Adjustment Voucher, 2650—TDA/TDI Transfer, 2710—Appellate Division Action and Transmittal Memorandum, 3177 A/B—Notice of Action for Entry on Master File, 3244—Payment Posting Voucher, 3245—Posting Voucher, Refund Check Cancellation or Repayment, 3258—Summary Transfer Voucher, 3333—TDI Status Report, 3354—Assessment Adjustment Document, 3446—Notice of Federal Tax Due, 3552—Statement of Tax Due on Federal Tax Return (Part 4), 3731—Unidentified Remittance Voucher, 3552—Prompt Assessment Billing Assembly, 3731—Unidentified Remittance Voucher, 3753—Manual Refund Posting Voucher, 3809—Miscellaneous Adjustment Voucher, 3870—Request for Adjustment (Part 1), 3870—Request for Adjustment (Part 3), 3967—Notice of Delinquency Tax Account, 4188—Settlement Notice (CP 21, 22, 210, 421, 422), 4296—Audit Requisition & Information Report, 4338—Transcript or Information Request (Tax Class 9 applies to TC 991, 993 only), 4446—Notice of Action for Entry on Master File (Part 4), 4695—Notification Refund Repayment Check not Accepted by Bank, 3553—Prompt Assessment Billing Assembly, 3731—Unidentified Remittance Voucher, 3753—Manual Refund Posting Voucher, 3809—Miscellaneous Adjustment Voucher, 3870—Request for Adjustment (Part 3), 3912—Taxpayer SSN Validation (CP 53 & 54), 3967—Notice of Delinquency Tax Account, 4084—Math Error Notice (CP 11), 4085—Math Error Notice (CP 12), 4086—Math Error Notice (CP 13), 4188—Settlement Notice (CP 21, 22, 210, 421, 422), 4192—Notice of Balance Due (CP 161), 4256—Dual Debit/Credit Transfer, 4296—Audit Requisition & Information Report, 4602—Notice of Balance Due (CP 23), 4604—Notice of Settlement Under

1.00 (CP 25), 4694—Notification Refund Repayment Check not Accepted by Bank, 4839—3rd Notice (Balance Due), 4840—4th Notice (Balance Due), 4907—TDA, 4960—IMF, Balance Due, Audit/Unallowable Items (CP 15), 4961—IMF, Overpayment, Audit/Unallowable Items (CP 16), RSC-137—Remittance Return to Taxpayer for Correction, TY-15—Unidentified and Excess Collection Voucher, TY-16—Tax Transfer Schedule, TY-18—Statement of Payment Due, TY-26—Statement of Tax Due IRS, TY-54—Posting Voucher and TY-D69—Taxpayer Delinquent Account.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related Acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: These are Paper Document files.

Retrievability: Document Locator Numbers.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retention and Disposal Instruction for paper document in these files is as specified in the Records Disposition Handbook, Service Centers, IRM 1(15)59-206.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Official maintaining

the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act. (See IRS Appendix A).

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.048

System name: Residual Master File (RMF) Microfilm Retention Register, ACTS: A—Treasury/IRS.

System location: All IRS Service Centers and District Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Categories of individuals on whom records are maintained are taxpayers who have a business in Airways, Motor Vehicles, Wagering, Beer/etc., or Coin Operated Amusement Devices; or those responsible for Gift Tax or U.S. Estate Tax. The tax return forms are: 4638, 709, 706, 2290, 11, 11B, 11C, 730.

Categories of records in the system: The categories of records maintained are abstracts of tax and entity modules that have been removed from the RMF. These abstract records indicate the business taxpayer name, identification number, tax years, debit and credit amounts, balances, and other transactions which have been recorded relative to the module.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related Acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosures may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Microfilm Tape.

Retrievability: EIN or SSN, Name, Tax Period, and Type of Tax (explained in the Research Operations Handbook).

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Two policies and practices regarding storage, retention, and disposal are as specified in the Records Retention Handbook and the Research Operations Handbook (330-731).

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act. (See IRS Appendix A).

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.049

System name: Residual Master File (RMF) Transaction. Codes 608 and 388 Microfilm Retention Register, ACTS: A—Treasury/IRS.

System location: All IRS Service Centers. See IRS Appendix A for locations.

Categories of individuals covered by the system: Categories of individuals on whom records are maintained are taxpayers who have a business in Airways, Motor Vehicles, Wagering, Beer/etc., or Coin Operated Amusement Devices; as well as those responsible for Gift Tax or U.S. Estate Tax. The tax return forms are: 4638, 709, 706, 2290.

Categories of records in the system: The categories of records maintained are abstracts of tax and entity modules containing a credit (TC608) or debit (TC388) that is written off when the module is removed from the RMF (magnetic tape) to the RMF (microfilm) 608 and 388 Retention Register. This register shows the taxpayer's name, identification number, specific tax returns, amount of credit or debit that has been written off, tax years and other transactions which have been recorded relative to the module before removal from the RMF (magnetic tape).

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related Acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made during judicial processes. For additional routine uses, see Appendix AA.

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

Storage: Microfilm Tape.

Retrievability: EIN or SSN, Name, Tax Period, Type of Tax (explained in the Research Operations Handbook).

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: The policies and practices regarding storage, retention, and disposal are as specified in the Records Retention Handbook.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining

the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act. (See IRS Appendix A).

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.050

System name: Residual Returns Files, ACTS: A—Treasury IRS.

System location: Internal Revenue Service Centers and Federal Records Centers (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers who file Forms: 4638—Federal Use Tax Return on Civil Aircraft, 2290—Federal Use Tax Return on Highway Motor Vehicles, 11—Special Tax Return, 11B—Special Tax Return, 11C—Special Tax Return and Application for Registry—Wagering, 730—Tax on Wagering.

Categories of records in the system: Forms filed by the taxpayer and case documents determined by the Service to be related.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related Acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes. For additional routine uses, see Appendix AA.

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

Storage: These are paper document files.

Retrievability: Documents are stored and retrieved by Document Locator Numbers.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: Retention and Disposal Instruction for paper documents in these files is as specified in the Records Disposition Handbook, Service Center, IRM 1 (15) 59-206.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act. (See IRS Appendix A).

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.051

System name: Return of Initial Excise Taxes on Private Foundations, Foundations Managers, and Disqualified Persons File, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers and Federal Records Centers, (see IRS Appendix A).

Categories of individuals covered by the system: Taxpayers who file Forms: 4720—Retention of Initial Excise Taxes on Private Foundations, Foundation Managers and Disqualified Persons.

Categories of records in the system: Forms filed by the taxpayer and case documents determined by the Service to be related.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related Acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: These are paper document files.

Retrievability: Documents are stored and retrieved by Document Locator Numbers.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook IRM 1 (16) 41.

Retention and disposal: Retention and Disposal Instruction for paper documents in these files is as specified in the Records Disposition Handbook, Service Center, IRM 1 (15) 59-206.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A).

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are no subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.052

System name: Social Security Administration's Daily Search File (SSA DSF), ACTS: A—Treasury/IRS.

System location: National Computer Center (NCC), Martinsburg, W. VA.

Categories of individuals covered by the system: Individuals on whom records are maintained are all individuals with social security numbers.

Categories of records in the system: Records maintained are records containing the name and social security number of the individual, along with fields dealing with the individual's sex, race, age, dates of birth and death, and military service; fields dealing with earnings and FICA; and fields dealing with inquiries, claims, disability, and beneficiary situations.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related Acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: The file is maintained on magnetic tape in SSN sequence.

Retrievability: By matching on SSN and name control.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: Received from SSA in October and retained until the following May; then data are magnetically erased.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS), National Office. Officials maintaining the system—Directors, Internal Revenue Service Centers. See IRS Appendix A for locations.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. See IRS Appendix A for locations.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. See IRS Appendix A for locations.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.053

System name: Statistics of Income Individual Selection Sheet, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayers whose returns are selected by pre-determined stratification and random selection within groups of states.

Categories of records in the system: Printouts developed by the Service showing both taxpayer-provided and Service-generated data concerning selected items of tax return data.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related Acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper documents

Retrievability: By SSN, Document Locator Number.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: Retained by Service Center for one year, then shipped to warehouse until National Office orders destruction.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.054

System name: Subsidiary Accounting Files, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers and District Offices. (See IRS Appendix A.)

Categories of individuals covered by the system: The categories of individuals on whom records are maintained are taxpayers affected by one or more of the transactions reflected in the categories of records listed below.

Categories of records in the system: The types of records maintained in the system are documents containing entity information (name, address, taxpayer identification number or employer identification number and other information necessary to identify the taxpayer) and accounting information relevant to one of the following categories: funds held pending, disposition and not applied to the taxpayer's liability at present, properties, tangible or intangible, now in the custody of the Internal Revenue Service, counterfeit money, misappropriations or robbery of Internal Revenue Service funds, credits which cannot be applied to a specific taxpayer account at this time, accounts transferred to other Service Centers or agencies, substantiation for the receipt of funds collected by the Service for other agencies, abatements or assessments of tax on individuals, deposits received from taxpayers, refunds to taxpayers, taxpayer accounts written off by the Service as uncollectible, credits allowed taxpayers requiring special consideration due to processing constraints, litigation, seized and acquired property and Offers-in-Compromise.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related Acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Subsidiary Accounting Files consist of paper documents stored in files.

Retrievability: Records are retrievable by Social Security No. and by name.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: Records are retired to the Records Center and are retrieved by request from authorized individuals where account substantiation is necessary. Policies regarding disposal are as specified in the Records Retention Handbook published by the Service.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account. Some Justice Department investigations are an additional source for the information contained in litigation case files.

Treasury/IRS 22.055

System name: Tax Practitioner, extension-of-time card file, ACTS: A—Treasury/IRS.

System location: Ogden Service Center. (See IRS Appendix A.)

Categories of individuals covered by the system: Those taxpayers for whom tax practitioners are requesting extension of time.

Categories of records in the system: This includes the names of taxpayers and their appropriate tax practitioners that comes from their extension request. It also includes the number of extensions, the validity of reason for request and whether approval is given.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related Acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. For additional routine uses see Appendix AA.

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

Storage: The records are kept in a card file in Taxpayer Relations Branch of Taxpayer Service Division.

Retrievability: Cards are kept alphabetically and are so retrieved.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: Retention and disposal is done as specified in the regulations of the Records Retention Handbook.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.056

System name: Tax Practitioner Mail File, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system: Individuals who have requested to receive tax practitioner information.

Categories of records in the system: Categories of records maintained in the system are names, SSNs, addresses, whether enrolled with the IRS, and occupation or business.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related Acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Magnetic tape files.

Retrievability: Information is stored and retrieved by taxpayer identification number.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: This magnetic tape file is maintained continuously. Retention and Disposal Instructions for the paper documents for records in these files is as specified in the Records Disposition Handbook, Service Center IRM 1(15)59-206.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.057

System name: Taxpayer Delinquent Investigation Notice File; ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system: Individual and business taxpayers relating to taxpayer delinquency investigations and the generation of delinquency notices.

Categories of records in the system: Delinquency investigation information on business and individual taxpayers.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related Acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Magnetic tape.

Retrievability: Tape search by identity number or name.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: Dependent upon the activity to each taxpayer record.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual. (See IRS Appendix A.)

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system has been exempted elsewhere in the Federal Register.

Treasury/IRS 22.058

System name: Tentative Carryback Allowance File; ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayers who have filed for a tentative carryback adjustment.

Categories of records in the system: records of tentative carryback adjustment Form 6702, including taxpayer name, address, and identifying number, tax years involved, amounts of tax decrease, and date Notice of Disallowance (if any) mailed.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related Acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: These are paper document files.

Retrievability: Taxpayer name and/or identification number.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: Retention and Disposal Instruction for paper documents in these files is as specified in the Records Disposition Handbook, Service Centers, IRM 1 (15) 59-206.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedure for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.059

System name: Unidentified Remittance File, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers. See IRS Appendix A for locations.

Categories of individuals covered by the system: Remittances which have been received but cannot be positively identified, either as to the taxpayer who sent it or the tax period to which it is to be applied.

Categories of records in the system: Each record contains a four-digit digit unidentified remittance (UR) control number, the amount, received date, and all known identifying data. In addition, the URF contains a record of all doubtfully applied Estimated Tax (ES) credits. The ES record contains the taxpayer's name, address, type of payment, taxpayer identification number, tax period, received date, money amount, and the transaction document locator number (DLN).

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This file is used only to report Revenue Receipts Breakout and total amount shown on General Ledger to U.S. Treasury. The file is an internal file and contains a record of each remittance which is received but cannot be positively identified, either as to the taxpayer who sent it or the tax period to which it is to be applied.

Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Disk Storage

Retrievability: Remittance amount, Unidentified Remittance Control Number, taxpayer name.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: 180 days after the amount is reduced to zero balance.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Remittances received from taxpayers that cannot be positively identified either as to the taxpayer who sent it or the type of tax to which it is to be applied.

Treasury/IRS 22.060

System name: Unit Ledger Cards, ACTS: A—Treasury/IRS.

System location: Internal Revenue Service Centers and Records Center.

Categories of individuals covered by the system: Records are maintained on taxpayers having accounts with the Internal Revenue Service which are not compatible with normal master file processes, e.g.: penalties, transferee assessments, termination assessments, excise protest accounts, RMF overflow accounts, culpable and non-petitioning spouses, Forms 1042, 1040-NR, 926, 5330, 4720, 990-AR (Penalty) and any pre-ADP returns.

Categories of records in the system: The categories of records maintained are taxpayer entity records (name, address, taxpayer identification number or employer identification number and other indicators relevant to entity maintenance) and records containing tax module information (the tax return, the tax period, the balance due or credit balance, and transactions which have been recorded relative to the module).

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related Acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist the administration of tax laws.

Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: The unit ledger cards are a card file.

Retrievability: Information is retrievable by Taxpayer Identification Number.

Safeguards: Safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: Disposition is prescribed by the appropriate Records Control Schedule.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Directors, Internal Revenue Service Centers. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may

inquire in accordance with instructions appearing at 31 CFR Part I, Subpart Cd Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the area in which the individual resides. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Internal Revenue Service Center servicing the areas in which the individual resides. (See IRS Appendix A.)

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax returns and other filings made by the individual and agency entries made in the administration of the individual's tax account.

Treasury/IRS 22.001

System name: Wage and Information Document (WAID) File;
ACTS: A—Treasury/IRS.

System location: National Computer Center, Martinsburg, W. Va.

Categories of individuals covered by the system: recipients of various types on income: wages; dividends; interest; rents and royalties; medical payments; capital gains distributions; non-taxable distributions; pensions and annuities; patronage dividends, distributions, and allocations; and prizes, gambling winnings and miscellaneous income.

Categories of records in the system: Records maintained are records representing certain wage and information returns: Forms W-2, W-2P, 1087 and 1099; and records of agricultural subsidy payments. Information included on each record identifies the recipient of the income (name, address, taxpayer identifying number, and other indicators relating to payee identification), identifies the income payer (very similar information), and identifies the type(s) and amount(s) of income.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. For additional routine uses see Appendix AA.

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

Storage: Magnetic tape in social security number sequence.

Retrievability: By taxpayer social security number and name control.

Safeguards: Safeguards will not be less than provided by the Physical Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: Until tax year 1974, only until processed; after tax year 1974, two years; then magnetically erased.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS), national office. Officials maintaining the system—Directors, Internal Revenue Service Centers. See IRS Appendix A for locations.

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system is proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 26.001

System name: Acquired Property Records, ACTS;
C—Treasury/IRS.

System location: District Offices. (See IRS Appendix A.)

Categories of individuals covered by the system: Delinquent taxpayers whose property has been acquired by purchase by government or right of redemption.

Categories of records in the system: Taxpayer name, address, taxpayer identification number, revenue officer reports.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper records are stored in locked facility when not in use.

Retrievability: Retrievable by taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: Dispose two years after final disposition of property.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—District Directors of Internal Revenue. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains data for government accounting purposes from Service sources.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 26.002

System name: Adjustment and Payment Tracer Files, ACTS;
C—Treasury/IRS.

System location: District Offices. (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayers against whom tax assessments have been made but who have either offered substantiating evidence for adjustment or proof of payment.

Categories of records in the system: Taxpayer name, address, taxpayer identification number, information about basis of assessment, including class of tax, period, dollar figures, TDA or notice, cancelled checks, amended returns, claims, etc.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1 (16) 41.

Retention and disposal: Retained until case resolved or reissued.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—District Directors of Internal Revenue. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 26.003

System name: Collateral Files, ACTS: C—Treasury/IRS.

System location: Districts Offices. (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayers against whom tax assessments have been made and who have submitted collateral such as bonds, mortgages, escrow, etc., to stay collection.

Categories of records in the system: Taxpayer name, address, taxpayer identification number, information about basis of assessment, including class of tax, period, dollar figure and collateral submitted.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose of collateral records two years after case is closed. Collateral is returned to taxpayer after collection or adjustment is effected. Collateral forfeited in event of default.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—District Directors of Internal Revenue. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 26.023

System name: Defunct Special Service Staff File being retained because of Congressional directive, ACTS: C—Treasury/IRS.

System location: National Office. (See IRS Appendix A.)

Categories of individuals covered by the system: Individuals suspected of violating the Internal Revenue laws.

Categories of records in the system: Internal Revenue Service Master File printouts; returns and field reports; information from other law enforcement government investigative agencies; Congressional Reports, and news media articles.

Authority for maintenance of the system: U.S.C. 301, 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This file is no longer being used by the Internal Revenue Service. The Special Service Staff was abolished August 13, 1973. Disclosure of information contained in this System of Records may be made to the Department of Justice in connection with actual or potential litigation. Access to the System is limited to Congressional Committees and individuals making Freedom of Information requests pertaining to themselves. For additional routine uses see Appendix AA.

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

Storage: Paper records maintained alphabetically by individual and organization contained in vault at IRS National Office.

Retrievability: By alphabet

Safeguards: Access controls are in conformance with provisions of the physical and Document Security Handbook, IRM 1 (16) 41. No IRS official has access to these records except for retrieval purposes in connection with Congressional or Freedom of Information inquiries and litigation cases.

Retention and disposal: Records are being maintained solely for Congressional Committees at their request. When the Congressional Committees have completed their inquiries, the records will be destroyed except for those documents pertaining to pending litigation. Those records will be destroyed upon direction by the Court having jurisdiction over the documents.

System manager(s) and address: Assistant Commissioner (ACTS) National Office. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the System of Records contains a record pertaining to themselves may address inquiries to the Assistant Commissioner (ACTS) National Office. (See IRS Appendix A for location.)

Record access procedures: Individuals seeking access to any System of Records may inquire in accordance with the instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner (ACTS), National Office. (See IRS Appendix A for location.)

In addition, this System may contain some records provided by other agencies which are exempt from the Access and Contest provisions of the Privacy Act as published in the Notices of the Systems of Records for those agencies.

Contesting record procedures: See Access above.

Record source categories: News media articles, taxpayers' returns and records, informant and third party information, other Federal agencies and examinations of related or other taxpayers.

Systems exempted from certain provisions of the act: System exempted elsewhere in the Federal Register.

Treasury/IRS 26.005

System name: File of Persons Making Threats of Force or Forcible Assaults, ACTS:C—Treasury/IRS.

System location: District Offices (See IRS Appendix A).

Categories of individuals covered by the system: Individuals who have or may threaten or assault Collection activity personnel.

Categories of records in the system: Names; addresses; taxpayer identification number (if known); physical description (if known) of individuals.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records.

Retrievability: By name of individual.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retained until Chief Collection/Collection and Taxpayer Service Division determines that individual no longer presents a threat to Collection employees.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—District Directors of Internal Revenue. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 26.006

System name: Form 2209, Courtesy Investigations, ACTS:C—Treasury/IRS.

System location: District Offices (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers on whom a delinquent account or delinquency or other investigation is or was located in one IRS district office, but the individual is now living or has assets located in the jurisdiction of another IRS district office.

Categories of records in the system: Contains taxpayer name, current and former addresses, taxpayer identifying number, if known. Contains the information, including class of tax, if applicable, or information concerning the action desired to be taken, and chronological investigative history.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose 2 years after case closed.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—District Directors of Internal Revenue. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 26.007

System name: Form 2990—Miscellaneous Investigations, ACTS:C—Treasury/IRS.

System location: District Offices (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers on whom an investigation has been initiated for purposes of securing information necessary for Federal Tax Administration purposes.

Categories of records in the system: Name and address of party that was contacted, taxpayer identification number, if known, chronological investigative history and/or information secured. The following types of investigations are included in this system: Form SSA-7010 cases—Notice of Determination of FICA Wages—Issued when SSA obtains evidence that wages paid to claimant have not been recorded on his earnings record. Requests for data needed in proof of claim cases. Applications for discharge of property from tax lien. Service of tax court subpoenas. Complaints of employers failing to provide withholding statements. Recovery of unassessable erroneous refunds. Form SSA-1273 cases—Request for Preferential Investigation. This is a request for preferential treatment (over other SSA cases) on an earnings discrepancy case. Secure application for exemption from self-employment tax. Offers in Compromise and related activities; i.e., follow-up on defaulted installments, secure payment on collateral agreements, etc. Maximize compliance with withholding requirements on aliens' earnings. Other miscellaneous uses.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

ment agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Information is on paper records.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose two years after closing date.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—District Directors of Internal Revenue. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 26.008

System name: IRS and Treasury Employee Delinquency, ACTS:C—Treasury/IRS.

System location: National Office, Regional Offices, District Offices and Service Centers, National Computer Center and Data Center. (See IRS Appendix A).

Categories of individuals covered by the system: IRS and Treasury employees who are shown on the Master file as delinquent in meeting Federal tax requirements.

Categories of records in the system: Taxpayer name, social security number, address, fact of IRS or Treasury employment code, District location code.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records.

Retrievability: by taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose after 2 years.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—Assistant Commissioner (ACTS), Regional Commissioners, District Directors of Internal Revenue and Service Center Directors. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 26.009

System name: Lien Files (Open and Closed), ACTS:C—Treasury/IRS.

System location: District Offices (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers on whom Federal Tax Liens have been filed.

Categories of records in the system: Taxpayer name, address, taxpayer identification number, information about basis of assessment including class of tax, period, dollar amount. Open and closed Federal tax liens including: Certificates of Discharge of Property from Federal Tax Lien; Certificates of Subordination; Certificates of Non-Attachment; Exercise of Government's Right of Redemption of Seized Property; Releases of Government's Right of Redemption.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Dispose four years after the account on which the lien arose has been satisfied or two years after the statutory period for collection has expired, as applicable.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Official maintaining the system—District Directors of Internal Revenue. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may address inquiries to District Director for each District whose records are to be searched.

Record access procedures: This system contains copies of public records, the originals of which are filed in accordance with the laws of each State, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States. See Notification above.

Contesting record procedures: See notification above.

Record source categories: Taxpayers' Federal Tax Returns.

Treasury/IRS 26.010

System name: Lists of Prospective Bidders at Internal Revenue Sales of Seized Property—ACTS:C—Treasury/IRS.

System location: District Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Individuals who have requested that they be notified of Internal Revenue sales of seized property.

Categories of records in the system: Name and address and phone number (if provided).

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records. File cabinets.

Retrievability: By name of Prospective Bidder.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retention varies by District Office.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—District Directors of Internal Revenue determine if need for this system exists. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the District Director of Internal Revenue Service servicing the area in which the individual resides.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Director of Internal Revenue Service servicing the areas in which the individual resides.

Contesting record procedures: See Access above.

Record source categories: Supplied voluntarily by the subject prospective bidder.

Treasury/IRS 26.011

System name: Litigation Case Files, ACTS: C—Treasury/IRS.

System location: District Offices (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers on whom Federal tax assessments have been made but against whom litigation has been initiated or is being considered by the government or who have instituted suits against the government.

Categories of records in the system: Taxpayer name, address, taxpayer identification number, information about basis of assessment, including class of tax, period, and dollar amount. This file includes: Suit to Reduce Tax Claim to Judgement; Suit for Failure to Honor a Levy; Suit to Enforce Federal Tax Lien; Suit Against Transferee; Suit to Set Aside Fraudulent Transfer; Suit to Recover Erroneous Refund; other suits include those which the United States may intervene to assert a Federal Tax Lien; a proceeding to require opening of a safe deposit box, etc. The following suits against the United States are also included in this file: Quiet Title Suit; Foreclosure of Mortgage or other Lien; Partition; Condemnation; Interpleader; Refund Suits Involving 100-Percent Penalty Assessments; Injunction Suits Under Freedom of Information Act. Also included in Litigation Files are: Individuals against whom bankruptcy proceedings are pending; decedent estates in probate with outstanding Federal tax liabilities; individuals executing Assignments for the Benefit of Creditors; individuals in Receivership Proceedings; individuals conducting a bulk sale; summons referrals; subpoena files; advisory opinions; revenue officer reports; and

various other legal instruments and correspondence. Disclosure may be made during judicial processes.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. For additional routine uses see Appendix AA.

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

Storage: Paper Records.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose 2 years after end of year or after case is closed, as applicable.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS). Officials maintaining the system—District Directors of Internal Revenue. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/26.012

System name: Offer in Compromise (OIC) File, ACTS: C—Treasury/IRS.

System location: District Offices, Service Center, Regional Offices, and National Office. (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers who have submitted an offer to compromise a liability imposed by the Internal Revenue Code.

Categories of records in the system: Form 2515, used to control offer cases, contains space for entering taxpayer name, address, taxpayer identification number, and all other pertinent information for identifying and assigning the OIC investigation. The file contains all records, documents, reports and work papers relating to the assignment, investigation, review and adjudication of the offer. This includes such items as the original offer, results of property records checks, interviews with third parties and the taxpayer, collateral income agreements, financial statements, tax return copies, and other information submitted by the taxpayer.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or posses-

sions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records, file cabinets.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retire to Federal Records Center three years after case is closed. Dispose six years after case is closed.

System manager(s) and address: Official prescribing policies and practices (Assistant Commissioner (ACTS)), Officials maintaining the system (Regional Commissioners, Service Center Directors and District Directors of Internal Revenue). (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported. If an offer is accepted, an abstract and statement which identifies the taxpayer, the liability, the amount compromised and the basic circumstances of the case is made available for public inspection in accordance with EO 10386 and EO 10906.

Systems exempted from certain provisions of the act: This system of records is proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 26.013

System name: One Hundred Percent Penalty Cases, ACTS: C—Treasury/IRS.

System location: District Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Individuals against whom Federal tax assessments have been made or are being considered as a result of their being deemed responsible for payment of unpaid corporation withholding taxes and social security contributions.

Categories of records in the system: Taxpayer name, address, taxpayer identification number, information about basis of assessment, including class of tax, period, dollar figures, waiver extending the period for asserting the 100-percent penalty (if any) and correspondence.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records.

Retrievability: By individual or corporation name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose of 100-Percent Penalty File two years after case is closed. Dispose of Form 2750, Waiver, four

years after the account on which the statutory period for collection has been satisfied or two years after statutory period, as extended has expired, as applicable.

System manager(s) and address: Official prescribing policies and practices (Assistant Commissioner (ACTS)), Officials maintaining the system (District Directors of Internal Revenue). (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system of records is proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 26.014

System name: Record 21, Record of Seizure and Sale of Real Property. ACTS: C—Treasury/IRS.

System location: District Offices (See IRS Appendix A).

Categories of individuals covered by the system: Individuals against whom tax assessments have been made and whose real property was seized and sold to satisfy their tax liability. Also name and address of purchaser.

Categories of records in the system: Taxpayer name, address, taxpayer identification number, information about basis of assessment, including class of tax, period, dollar amounts, property description.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The contents of this System of Records evidences chain of title to real property and is a matter of public record. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper records, file cabinets.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Retained permanently.

System manager(s) and address: Official prescribing policies and practices (Assistant Commissioner (ACTS)), Officials maintaining the system (District Directors of Internal Revenue). (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may address inquiries to District Director for each District whose records are to be searched.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may address inquiries to or appear in person at the office of District Director for each District whose records are to be searched.

Contesting record procedures: See Access above.

Record source categories: This System of Records evidences chain of title to real property and is a matter of public record. (See Category of Record above).

Treasury/IRS 26.015

System name: Records being maintained at the request of Congressional Committees. ACTS: C—Treasury/IRS.

System location: National Office, Regional Offices, District Offices, Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Individuals who have previously been the subject of Collection case assignments and/or individuals who have been identified as potential tax delinquents. Includes Former Sensitive Case Files and various returns compliance files which are normally not retained.

Categories of records in the system: Names, addresses, taxpayer identification number, class of tax, period, location of levy sources (if known), other financial data (if known), dollar figures (if known), and correspondence (if any).

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records, file cabinets.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Records will be destroyed when no longer required by Congressional Committees.

System manager(s) and address: Official prescribing policies and practices (Assistant Commissioner (ACTS)), Officials maintaining the system—Director, Collection Division; ARC's (ACTS); District Directors of Internal Revenue (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system of records is proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 26.016

System name: ACTS-C—TREASURY/IRS—Returns Compliance Programs (RCP).

System location: District Offices and Service Centers (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers who may be delinquent in filing or paying Federal taxes.

Categories of records in the system: Records consist of name, address, taxpayer identification number (if known) and information concerning the potential tax liability. Returns Compliance Programs involve any type of Federal tax administered by the Collection Division and are conducted in accordance with Section 7601 of the Internal Revenue Code. RCP programs can be initiated by the National Office, Regional Offices, or by individual districts. Disclosure may be made during judicial processes.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary

in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. For additional routine uses see Appendix AA.

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

Storage: Paper Records, file cabinets.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Dispose of two years after closure.

System manager(s) and address: Official prescribing policies and practices (Assistant Commissioner (ACTS)), Officials maintaining the system—District Directors of Internal Revenue and Service Center Directors. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system of records is proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 26.017

System name: Seized Property Records, ACTS-C—Treasury/IRS.

System location: District Offices (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers whose property has been seized for subsequent sale by IRS to satisfy tax liabilities.

Categories of records in the system: Taxpayer name, address, taxpayer identification number, copy of Notice of Federal Tax Lien, information about basis of assessment, including class of tax, period, dollar amount, and Revenue Officer reports.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. For additional routine uses see Appendix AA.

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

Storage: Paper Records.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose two years after redemption period expires.

System manager(s) and address: Official prescribing policies and practices, Assistant Commissioner (ACTS), Officials maintaining the system, District Directors of Internal Revenue. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system of records is proposed for exemption elsewhere in Federal Register.

Treasury/IRS 26.018

System name: Tax Collection Waiver Form 900 Files, ACTS: C—Treasury/IRS.

System location: District Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers for whom tax assessments exist and for whom statutory collection period has been extended by waiver.

Categories of records in the system: Taxpayer name, address, taxpayer identification number, information about basis of assessment based on TDA, including class of tax, period, etc.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. For additional routine uses see Appendix AA.

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

Storage: Paper Records, file cabinets.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose of four years after account on which statutory period for collection has been extended is satisfied or two years after statutory period as extended has expired, as applicable.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS), Officials maintaining the system, District Directors of Internal Revenue. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system of records is proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 26.019

System name: TDA (Taxpayer Delinquent Accounts), ACTS: C—Treasury/IRS.

System location: District Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers on whom Federal tax assessments have been made.

Categories of records in the system: Taxpayer name, address, taxpayer identification number, information about basis of assessment, including class of tax, period, dollar amounts, chronological investigative history, etc. This system includes Part Payment Files; Large Dollar Reports; No Activity Reports; TDA Register; Uncollectable Accounts Register; Uncollectable Accounts Register (over 25,000); Advance Dated Remittance Check Files; Uncollectable Accounts Files.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Information is on paper records.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose two years after closing case.

System manager(s) and address: Official prescribing policies and practices, Assistant Commissioner (ACTS), Officials maintaining the system, District Directors of Internal Revenue, Service Center Directors. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system of records is proposed for exemptions elsewhere in Federal Register.

Treasury/IRS 26.020

System name: TDI (Taxpayer Delinquency Investigation) Files, ACTS: C—Treasury/IRS.

System location: District Offices and Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers believed to be delinquent in filing Federal tax returns.

Categories of records in the system: Taxpayer name, address, taxpayer identification number, information from previously filed returns, information about the potential delinquent return(s), including class of tax, chronological investigative history.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses, see Appendix AA.

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

Storage: Information is on paper records.

Retrievability: by taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose two years after closing case.

System manager(s) and address: Official prescribing policies and practices, Assistant Commissioner (ACTS), Officials maintaining the system, District Directors of Internal Revenue, Service Center Directors. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system of records is proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 26.021

System name: Transferee Files, ACTS: C—Treasury/IRS.

System location: District Offices. (See IRS Appendix A.)

Categories of individuals covered by the system: Includes taxpayers on whom tax assessments have been made but who have allegedly transferred their assets in order to place them beyond the reach of the government.

Categories of records in the system: Taxpayer name, address, taxpayer identification number, information about basis of assessment, including class of tax, period, dollar amounts. Also the name, address, taxpayer identification number and related information about transferee.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. For additional routine uses see Appendix AA.

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

Storage: Paper Record.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose of two years after end of year or after case is closed, as applicable.

System manager(s) and address: Official prescribing policies and practices, Assistant Commissioner (ACTS), Officials maintaining the system, District Directors of Internal Revenue. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system of records is proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 26.022

System name: Delinquency Prevention Programs, ACTS: C—Treasury/IRS.

System location: District Offices. (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayers having a history of Federal tax delinquency.

Categories of records in the system: Taxpayer name, taxpayer identification number, address, filing requirements, chronological investigative history.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records, file cabinet.

Retrievability: By taxpayer name.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose two years after case is closed.

System manager(s) and address: Official prescribing policies and practices—Assistant Commissioner (ACTS), Officials maintaining the system—District Directors of Internal Revenue. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system of records is proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 30.005

System name: Accident Investigation Files System Administration—Treasury/IRS.

System location: National Office, Regional Offices. (See IRS Appendix A.)

Categories of individuals covered by the system: Individuals involved in accidents involving either property damage of over \$500.00 or any personal injury.

Categories of records in the system: Information consisting of injuries, damages, dollar estimate, causes and conditions of accidents, interviews and statements pertaining to IRS employees and private individuals involved in accidents which result in over \$500.00 in property damage or personal injury to either party.

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: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with

requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—National Office—file folders, Regional Offices—card file. Retrievability—indexed by name. Safeguards—records are kept in offices which are locked or guarded during non-work hours. Retention and disposal—National Office—records are stored in the Protective Programs Branch for a period of three years. They are then transferred to the Federal Records Center and destroyed seven years after case file year.

System manager(s) and address: National Office—Safety Management Officer, Protective Programs Branch, Regional Offices (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be accessed or contested.

Record source categories: The information originates from the IRS Inspection Branch.

Treasury/IRS 30.002

System name: Employee Administrative Files, Tax Administration, Advisory Services Division—Treasury/IRS.

System location: National Office. (See IRS Appendix A).

Categories of individuals covered by the system: Employees of the TAAS Division, both current and former.

Categories of records in the system: Overseas Employee Work Folders (active and inactive), Headquarters Staff Employee Work Folders (active and inactive), Official Passport and Control Card File, ID Cards (AID). Maintained for reference and administrative processing purposes; for selection and nomination for overseas assignments.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper.

Retrievability: By taxpayer name.

Safeguards: Files are kept in a locked file or locked room with limited access by division employees.

Retention and disposal: Obsolete files are destroyed when further assignments with the division are considered unlikely. Passports are returned to State Department. ID's are returned to Agency for International Development.

System manager(s) and address: Director, Tax Administration Advisory Services Division, National Office (See IRS Appendix A).

Notification procedure: See system manager above.

Record access procedures: See system manager above.

Contesting record procedures: See system manager above.

Record source categories: From the individual, and from standard Personnel and other governmental administrative forms relating to the individual.

Treasury/IRS 30.001

System name: Personal Data on Official Contracts, Tax Administration Advisory Services Division—Treasury/IRS (See IRS Appendix A).

System location: National Office.

Categories of individuals covered by the system: Selected officials and work contacts in: IRS, AID, State Department; and other

Government agencies; the Inter-America Center of Tax Administrators; foreign governments; international organizations; and educational institutions in the U.S.

Categories of records in the system: Locator Card Files of official contacts (5); Liaison Listing of official training program contacts; biannual international tax advisors listing; TAAS advisors and National Office staff listing; bio-data sketches on individuals (IRS and others). Maintained for quick reference in order to locate and contact an individual, and to keep record of personal information for use in connection with official business.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper

Retrievability: By taxpayer name.

Safeguards: Access limited to authorized persons.

Retention and disposal: Indefinite.

System manager(s) and address: Director, Tax Administration Advisory Services Division, National Office (See IRS Appendix A).

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: From the individual, from the organization with which he is associated, or from other knowledgeable experts in the field of Tax Administration.

Treasury/IRS 30.003

System name: Requests for Printed Tax Materials Including Lists, Administration—Treasury/IRS.

System location: National Office, Regional Offices, District Offices, Service Centers (See IRS Appendix A).

Categories of individuals covered by the system: Files include those individuals and/or businesses that request various IRS printed materials such as Package X, TIRs, reproduction proofs, etc.

Categories of records in the system: Letter or order blank submitted by the individual and/or business and any related correspondence. A cross reference index may also be developed to identify and control requests.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in the system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—magnetic tapes, paper records or mailing plates. Retrievability—alphabetically or numerically. Safeguards—not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Retention and Disposal—names dropped as system is updated.

System manager(s) and address: Chief, Publishing Services Branch A:FM:P National Office, and Chief, Administration in Regional Offices, District Offices and Service Centers (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be accessed or contested.

Record source categories: The information is supplied by the individual and/or company making the request. The Service adds data pertaining to the fulfillment of the request.

Treasury/IRS 30.004

System name: Security Violations, Administration—Treasury/IRS.

System location: Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Violators of IRS Security Regulations.

Categories of records in the system: Name of violator, circumstances of violation (date, time, actions of violator, etc), supervisory action taken.

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: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—file folder (notices of violation); 3 x 5 inch card file. Retrievability—3 x 5 inch card file—name; lateral file cabinets, access by PPO staff only. Retention and disposal—3 x 5 inch card file—indefinite; file folder—3 years. On-site location: 3 x 5 inch card file—indefinite; file folder—3 years (1 year in PSS Office, 2 years in Records Holding area).

System manager(s) and address: Chief, Facilities Management Branch, Service Centers. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Service Center Director for each Service Center whose records are to be searched.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Service Center Director for each Service Center whose records are to be accessed or contested.

Record source categories: Contract Guard Force.

Treasury/IRS 32.001

System name: Travel Expense Record, Administration—Treasury/IRS.

System location: National Office, Regional Offices and District Offices. See IRS Appendix A for Locations.

Categories of individuals covered by the system: All IRS employees who have incurred travel or moving expenses in conjunction with official business.

Categories of records in the system: Records consist of travel advances, personal travel vouchers, household move vouchers, Forms W-2, schedule of disbursements, GAO decisions/rulings, Transportation Requests, Overdue Notices, Certification of Deposits & Form 2221, (Schedule of Collections). Records are for the purpose of maintaining accurate financial accounting of travel and moving expenses of employees.

Authority for maintenance of the system: GAO Policy and Procedures Manual for Guidance of Federal Agencies, Title 2, Chapter 2, Sections 5 & 6.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—locked files. Retrievability—indexed in alphabetical order or assigned numerical sequence. Safeguards—access is restricted to designated Fiscal Management employees, to individuals concerned on a need-to-know basis, and to administrative offices through the authority of the Travel Management Supervisor. As required, IRS Internal

Audit and Security has access to the files. Retention and Disposal—retired after 3 years to Federal Records Center; disposed in accordance with Records Retention Handbook.

System manager(s) and address: Chief, Fiscal Section, IRS National Office or Regional Office. See IRS Appendix A for Locations.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR, Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager.

Contesting record procedures: See Access above.

Record source categories: Information supplied by employees and by GAO and GSA as required.

Treasury/IRS 32.002

System name: Payroll/Personnel System, Administration—Treasury/IRS.

System location: IRS Data Center, National Office, Regional Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Current and Former IRS Employees.

Categories of records in the system: Data storage and file records system for processing the IRS payroll and personnel actions, consisting of records of time and attendance, leave, tax withholding, bond purchase and issuance, emergency salaries, overtime and holiday pay, optional payroll deductions, and personnel statistics. Aside from payroll processing, recorded personnel data is available on a need to know basis to personnel offices in accordance with Civil Service Commission, Treasury and IRS regulations.

Authority for maintenance of the system: 5 U.S.C. 301, 6 USC. (Chapter 1, Section 2). GAO Policy and Procedures manual for Guidance of Federal Agencies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—data files maintained on magnetic tape; folder records maintained in file cabinets. Retrievability—indexed by social security number or by name. Safeguards—access controls are not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Retention and disposal—retired after 3 years to the Federal Records Center; disposed of after 56 years.

System manager(s) and address: Personnel Data: Director, Personnel Division, IRS National Office. Payroll Data: Fiscal Management Officer, IRS National Office. (See IRS Appendix A).

Notification procedure: Individuals seeking information pertaining to these records may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: Assistant Commissioner (Administration), IRS National Office.

Record access procedures: Same as "notification" above.

Record source categories: Information is compiled from the existing master records, i.e. employees' official personnel folders. Information also provided by payroll coordinators and administrative officers.

Treasury/IRS 32.003

System name: Schedules of Collections and Schedules of Canceled Checks, Administration—Treasury/IRS.

System location: National Office and Regional Offices. See IRS Appendix A for Locations.

Categories of individuals covered by the system: Employees of Internal Revenue Service.

Categories of records in the system: Checks received from employees in connection with jury duty and overpayments. System

maintained to place all collections under security control promptly upon receipt and to record amount of deposit to general ledger control accounts.

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: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—records maintained in locked file cabinet. Retrievability—indexed by name. Safeguards—access controls are not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Retention and disposal—records are maintained until transferred to the Federal Records Center to be retained in accordance with the Records Retention Manual.

System manager(s) and address: Chief, Fiscal Section, National Office or Regional Offices. See IRS Appendix A for Locations.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR, Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR, Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each Office whose records are to be accessed or contested.

Contesting record procedures: See Access above.

Record source categories: Employees, District Directors, Regional Commissioners.

Treasury/IRS 32.004

System name: Scholarship Program Cost Record, Administration—Treasury/IRS.

System location: Regional Offices (See IRS Appendix A).

Categories of individuals covered by the system: Employees in the IRS Scholarship Program.

Categories of records in the system: Actual and estimated expenditure per student for purposes of monitoring and controlling costs.

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: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—in file cabinet. Retrievability—indexed by District (within District, individual recipients indexed by name). Safeguards—employees in the Budget and Reports Section have access to records. Retention and disposal—records maintained for 2 years and then disposed.

System manager(s) and address: Chief, Budget and Reports Section, Fiscal Management Branch, IRS Regional Offices. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR, Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be accessed or contested.

Contesting record procedures: See Access above.

Record source categories: Information provided by employees concerned.

Treasury/IRS 34.009

System name: Accident Reporting Files System—Treasury/IRS.

System location: National Office, Regional Offices, District Offices, Service Centers, IRS Data Center, National Computer Center. (See IRS Appendix A).

Categories of individuals covered by the system: Employees of the Internal Revenue Service and non-Federal employees.

Categories of records in the system: Information consists of conditions surrounding accident, injuries, and damages pertaining to Internal Revenue Service employees' accidents while on duty and non-Federal employees who suffered an accident on IRS space or who were employed through a temporary manpower agency.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—file folders; card file. Retrievability—indexed by name. Safeguards—records are kept in offices which are locked or guarded during non-working hours. Retention and disposal—records are stored in the Protective Programs Branch for three years and are then transferred to the Federal Records Center. Records are destroyed seven years after case file year.

System manager(s) and address: For National Office—Safety Management Officer, Protective Programs Branch, Facilities Management Division, National Office. For Regional and District Offices—Chief, Facilities Management Branch, appropriate Regional or District office. (See IRS Appendix A).

Notification procedure: Same as System Manager above. Name must be provided to ascertain whether or not the system has a record pertaining to the individual.

Record access procedures: Individuals may go to Internal Revenue Service Regional Office to gain information on procedures for gaining access to and contesting records of this system. The Regional Protective Programs Officer is the official to be contacted.

Contesting record procedures: See access above.

Record source categories: Information originates from the employee involved in the accident and his/her supervisor or the non-federal employee involved and, sometimes, a witness or an accident investigator.

Treasury/IRS 34.010

System name: Damage and Injury Claims Files System—Treasury/IRS.

System location: National Office and Regional Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Internal Revenue Service employees and private individuals acting as claimants against the Service. Private parties against which the Service has a claim.

Categories of records in the system: Claims consisting of information on dollar amounts of claims of property damage and personal injuries and estimated property damage related to the Federal Claims Collection Act, Federal Tort Claims Act, the Military Personnel and Civilian Employees Claims Act of 1964, and the Small Claims Act.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—file folders and card file. Retrievability—indexed by name. Safeguards—access to the records is restricted to official use of Internal Revenue Service employees. Records are kept in offices which are locked or guarded during non-work hours. Retention and disposal—records are kept for three years and then are transferred to the Federal Records

Center where they are destroyed seven years after the case file date.

System manager(s) and address: For National Office—Safety Management Officer, Protective Programs Branch, Facilities Management Division. For Regional Offices—Chief, Facilities Management Branch, appropriate Regional Office. (See IRS Appendix A).

Notification procedure: Same as for National Office above. Individual must submit the name of the party or individual involved in the claim to determine whether or not the system contains a record pertaining to the party or individual.

Record access procedures: Individuals may go to IRS Regional Office to gain information for procedures for gaining access and contesting records of this system. The Regional Protective Programs Officer is the official to be contacted.

Contesting record procedures: See Access above.

Record source categories: Information originates from private individuals, private parties, Internal Revenue Service employees, and Internal Revenue Service officials.

Treasury/IRS 34.011

System name: Driver Licensing Files System—Treasury/IRS.

System location: National Office, Regional Offices, District Offices, Service Centers, IRS Data Center, National Computer Center. (See IRS Appendix A).

Categories of individuals covered by the system: Employees of the Internal Revenue Service.

Categories of records in the system: Information consists of personal information on driving records relating to motor vehicle records of IRS drivers.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—file folders. Retrievability—indexed by name. Safeguards—records are kept in offices which are locked or guarded during non-work hours. Retention and disposal—records are actively maintained as long as license is in effect.

System manager(s) and address: Chief, Facilities Management in the appropriate office. (See IRS Appendix A).

Notification procedure: Same as System Manager above. Name of person must be submitted.

Record access procedures: Same as System Manager above.

Contesting record procedures: Same as System Manager above.

Record source categories: Information originates from IRS motor vehicle drivers.

Treasury/IRS 34.001

System name: Economic Stabilization Program Closed Case Files—Treasury/IRS.

System location: National Office, Regional Offices, District Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Individuals acting as sole proprietorships or partnerships involved in any pursuit subject to the Economic Stabilization Program.

Categories of records in the system: Case files for the period 1971 through 1974 originating from the investigation of complaints alleging violation of the Stabilization program or in granting or denying of exception/exemption requests.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Economic Stabilization Program terminated on June 30, 1974. Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—stored in cartons in servicing Federal Records Centers. Retrievability—indexed alphabetically by name. Safeguards—Federal Record Center security with access restricted to Internal Revenue Service employees. Retention and Disposal—to be destroyed in the years 1976 through 1979 (five years after the end of the case file year).

System manager(s) and address: Chief, Disclosure Staff, National Office; Regional Offices and District Offices. (See IRS Appendix A).

Notification procedure: Same as System Manager above.

Record access procedures: Same as System Manager above.

Contesting record procedures: Same as System Manager above.

Record source categories: Letters from the public, applications from individuals, investigative reports, disclosure statements, determination letters, legal appeals and notifications of decisions.

Treasury/IRS 34.002

System name: Economic Stabilization Program Special Correspondence Files—Treasury/IRS.

System location: National Office.

Categories of individuals covered by the system: Congressmen, government officials and private individuals.

Categories of records in the system: Congressional, public officials, and private individuals' correspondence pertaining to Stabilization activities for the period 1971 through 1974 which is not part of a case file.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Economic Stabilization Program terminated on June 30, 1974. Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—stored in cartons in the Washington National Records Center. Retrievability—filed alphabetically by name. Safeguards—Federal Records Center security with access limited to Internal Revenue Service employees. Retention and Disposal—the records are to be transferred to the National Archives in 1979 as historical records.

System manager(s) and address: Chief, Disclosure Staff, National Office.

Notification procedure: Same as System Manager above.

Record access procedures: Same as System Manager above.

Contesting record procedures: Same as System Manager above.

Record source categories: Queries for information, interpretations and rulings originating either from Congressmen, public officials or private individuals.

Treasury/IRS 34.012

System name: Emergency Preparedness Cadre Assignments and Alerting Rosters Files System—Treasury/IRS.

System location: National Office, Regional Offices, and Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Key IRS, Treasury and OEP personnel.

Categories of records in the system: Cadre assignments—personal information on employees, i.e., name, address, phone number, family data, security clearance, relocation assignment, etc. Alerting rosters—current listing of individuals by name and title stating their work and home address and phone numbers.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—individual forms and correspondence kept in file folders. Retrievability—cadre as-

signments are filed by relocation site and alerting rosters by title of list. Safeguards—records are kept in a secured office. Retention and disposal—records are kept as required by Records Disposition Handbook.

System manager(s) and address: For National Office—Chief, Protective Programs Branch, Facilities Management Division. For Regional Offices—Chief, Facilities Management Branch, Appropriate Region. For Service Centers—Director, Appropriate Service Center, Protective Programs Officer. (See IRS Appendix A).

Notification procedure: Same as System Manager above.

Record access procedures: Same as System Manager above.

Contesting record procedures: Same as System Manager above.

Record source categories: Provided by individuals themselves.

Treasury/IRS 34.003

System name: Employee Accountability for Personal Property and Miscellaneous Items—Treasury/IRS.

System location: National Office, Regional Offices, District Offices, Service Centers, IRS Data Center and National Computer Center. (See IRS Appendix A).

Categories of individuals covered by the system: All Employees.

Categories of records in the system: Receipts for Government property and miscellaneous items issued to employees.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution of civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—maintained in locked filing cabinets. Retrievability—indexed alphabetically by name. Safeguards—access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Retention and Disposal—receipts are destroyed upon return of property.

System manager(s) and address: Chief, National Office Facilities Branch, National Office; Regional Offices, District Offices, Service Centers, IRS Data Center and National Computer Center. (See IRS Appendix A).

Notification procedure: Same as System Manager above.

Record access procedures: Same as System Manager above.

Contesting record procedures: Same as System Manager above.

Record source categories: Information is provided by individuals who receive property, such as credit cards, identification cards, pocket commissions, Government driver's licenses, keys, etc.

Treasury/IRS 34.004

System name: Executive Resources Information System—Treasury/IRS.

System location: National Office.

Categories of individuals covered by the system: IRS Executives at GS-15 and above.

Categories of records in the system: A time-share computer data base containing biographical data, current job status, and position availability of IRS Executives.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The system is used to assist the Executive Resources Board to make selections for vacant executive positions. Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—maintained on computer disk file. Retrievability—indexed by name. Safeguards—access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Retention and Disposal—records maintained until employee leaves IRS at which time that record is deleted from the file.

System manager(s) and address: Executive Secretary, Executive Resources Board, National Office.

Notification procedure: Same as System Manager above.

Record access procedures: Same as System Manager above.

Contesting record procedures: Same as System Manager above.

Record source categories: Information supplied by IRS Executive and taken from SF 50's and SF 52's.

Treasury/IRS 34.013

System name: Identification Media Files System for Employees—Treasury/IRS.

System location: National Office, Regional Offices, District Offices, Service Centers, IRS Data Center, National Computer Center. (See IRS Appendix A).

Categories of individuals covered by the system: IRS employees having one or more items of identification.

Categories of records in the system: Records contain individual's name, home address, SSN, physical description, and other personal information and reports on loss, theft, or destruction of pocket commissions, enforcement badges and other forms of identification.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—correspondence file folders; 3 x 5 inch card files. Retrievability—Indexed separately by name and Identification Media serial number. Access controls—access to the records is restricted to official use of Internal Revenue. The files are stored in locked security containers in offices which are locked or guarded during non-work hours. Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Retention and Disposal—the records are destroyed 3 years after last entry turn-in.

System manager(s) and address: Security Program Manager, Protective Programs Branch, Facilities Management Division, National Office.

Notification procedure: Individual's name, SSN, address and type of ID media, plus the approximate date that he/she was issued and/or turned in the particular item of identification, would have to be furnished the Service office that issued the item for them to be able to ascertain whether or not their system contains a record about the individual. (See IRS Appendix A).

Record access procedures: By writing or visiting applicable Service office.

Contesting record procedures: See Access above.

Record source categories: Information was furnished by each individual at the time they received the particular item of identification.

Treasury/IRS 34.014

System name: Motor Vehicle Registration and Entry Pass Files System—Treasury/IRS.

System location: Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Individuals requiring continued access to the facility and parking area violators.

Categories of records in the system: Name of employee, registered owner of vehicle, branch, telephone, description of car, license number, employee's signature, name and expiration date of insurance, parking violations, decal number.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—file folders and card file. Retrievability—indexed by name. Safeguards—records are

kept in a secured container in a secured office. Retention and disposal—records are kept until obsolete.

System manager(s) and address: Protective Programs Officer, appropriate Service Center. (See IRS Appendix A).

Notification procedure: Same as System Manager above.

Record access procedures: Same as System Manager above.

Contesting record procedures: Same as System Manager above.

Record source categories: Information is supplied by individual except for parking violations information which is supplied by the security guard personnel.

Treasury/IRS 34.005

System name: Parking Space Application and Assignment—Treasury/IRS.

System location: National Office, Regional Offices, District Offices, Service Centers, IRS Data Center and National Computer Center. (See IRS Appendix A).

Categories of individuals covered by the system: Internal Revenue Service employees who apply for assignment of carpool or reserved parking spaces.

Categories of records in the system: Contains the name, grade, position title, organization, vehicle identification, arrival and departure time, and service computation date of individual or principal carpool applicant. Contains name, place of employment, duty telephone, vehicle license number and service computation date of applicants, individuals or carpool members, for parking spaces.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—maintained on an 8-1/2 x 10 inch or other local form. Retrievability—indexed by name of individual or principal carpool applicant. Safeguards—records are maintained in a file cabinet in a locked room. Retention and Disposal—Records are maintained for a period of not more than one year. Previous years' records are destroyed after each parking review.

System manager(s) and address: Chief, National Office Facilities Branch, National Office; Regional Offices, District Offices, Service Centers, IRS Data Center and National Computer Center. (See IRS Appendix A).

Notification procedure: Same as System Manager above.

Record access procedures: Same as System Manager above.

Contesting record procedures: Same as System Manager above.

Record source categories: Individuals applying for parking spaces.

Treasury/IRS 34.015

System name: Personnel Identification Files System for service centers—Treasury/IRS.

System location: Service centers. (See IRS Appendix A).

Categories of individuals covered by the system: Federal and non-Federal personnel working in or visiting a particular service center.

Categories of records in the system: Records contain individual's name, home address, SSN and other such personal information. Visitor registers contain names and addresses of all visitors to the facility. Restricted area registers contain the names of all persons who visited the particular restricted area. Forms file contains the name of individuals who have lost or forgotten their badge.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—5 x 8 inch card file; 8 x 11 inch sheets. Retrievability—indexed separately by name and serial number for cross reference purposes. Registers filed by date.

Access controls—access to the records is restricted to official use of Internal Revenue Service. The files are kept in offices which are locked or guarded during non-work hours. Retention and disposal—the records are destroyed 3 years after last entry turn-in.

System manager(s) and address: Security Program Manager, Protective Programs Branch, Facilities Management Division, National Office.

Notification procedure: Individual's name, SSN and address, plus the inclusive date(s) that he/she visited or was assigned to a particular service center, would have to be furnished to a center for them to be able to ascertain whether or not their system contains a record about the individual. (See IRS Appendix A).

Record access procedures: By writing or visiting applicable service center.

Contesting record procedures: See Access above.

Record source categories: Information was furnished by each individual at the time he/she made application for a permanent or temporary badge to enter a center.

Treasury/IRS 34.006

System name: Property Pass for Government Property—Treasury/IRS.

System location: National Office, Regional Offices, District Offices, Service Centers, IRS Data Center and National Computer Center. (See IRS Appendix A).

Categories of individuals covered by the system: All individuals removing property from IRS space.

Categories of records in the system: Description of property and reason for removal.

Authority for maintenance of the system: FPMR (41 CFR) 101-19.108.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—maintained on various sized forms. Retrievability—indexed by name. Safeguards—access controls will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41. Retention and Disposal—destroyed when property is returned.

System manager(s) and address: Chief, National Office Facilities Branch, National Office; Regional Office, District Offices, Service Centers, IRS Data Center and National Computer Center. (See IRS Appendix A).

Notification procedure: Same as System Manager above.

Record access procedures: Same as System Manager above.

Contesting record procedures: Same as System Manager above.

Record source categories: Individual requesting a property pass.

Treasury/IRS 34.007

System name: Record of Government Books of Transportation Requests—Treasury/IRS.

System location: National Office, Regional Offices, District Offices, Service Centers, IRS Data Center, and National Computer Center. (See IRS Appendix A).

Categories of individuals covered by the system: IRS employees issued Transportation Requests.

Categories of records in the system: Form 496, alphabetical card record by name of the serial numbers of Transportation Requests issued to the employee; and Form 4678, numerical list by serial number listing the name of the employee to whom issued.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

file box or file cabinets. Retrievability—by name or serial number. Safeguards—access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Retention and Disposal—retained and disposed in accordance with Records Disposition Handbook, IRM 1(15)59-301 (GRS-9).

System manager(s) and address: Administrative Officers, National Office; Regional Offices, District Offices, Service Centers, IRS Data Center and National Computer Center. (See IRS Appendix A).

Notification procedure: Same as System Manager above.

Record access procedures: Same as System Manager above.

Contesting record procedures: Same as System Manager above.

Record source categories: Government Books of Transportation Requests and employees to whom Books were issued.

Treasury/IRS 34.008

System name: St. Louis District Office and Other Selected Economic Stabilization Program Closed Case Files—Treasury/IRS.

System location: St. Louis Federal Records Center, 111 Winnebago Street, St. Louis, Mo. 63118.

Categories of individuals covered by the system: Individuals acting as sole proprietorships or partnerships involved in any pursuit subject to the Economic Stabilization Program.

Categories of records in the system: Case files for the period 1971 through 1974 originating from the investigation of complaints alleging violation of the Stabilization program or in granting or denying of exception/exemption requests.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Economic Stabilization Program terminated on June 30, 1974. Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses, see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—stored in cartons in the St. Louis Federal Records Center. Retrievability—indexed alphabetically by name. Safeguards—Federal Records Center security with access limited to Internal Revenue Service employees. Retention and Disposal—the records are to be transferred to the National Archives in 1979 as historical records.

System manager(s) and address: Chief, Disclosure Staff, National Office.

Notification procedure: Same as System Manager above.

Record access procedures: Same as System Manager above.

Contesting record procedures: Same as System Manager above.

Record source categories: Letters from the public, applications from individuals, investigative reports, disclosure statements; determination letters, legal appeals and notifications of decisions.

Treasury/IRS 34.016

System name: Security clearance files system—Treasury/IRS.

System location: National Office, Regional Offices, District Offices, Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Employees of the Internal Revenue Service requiring a security clearance, having their security clearance cancelled or transferred and individuals who have violated IRS security regulations.

Categories of records in the system: Records contain individual's name, employing office, date of security clearance, level of clearance, reason for clearance, and any changes in such clearance. Security violations records contain name of violator, circumstance of violation and supervisory action taken.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide information to agencies and individuals on a need-to-know basis to determine the current status of an individual's security clearance. Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage—correspondence file folders; 3 x 5 inch card file. Retrievability—indexed by name. Access controls—stored in locked security container in offices which are locked or guarded during non-work hours. Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Retention and disposal—correspondence files relating to administration and operation of the Personnel Security Clearance Program are disposed after 2 years. Personnel Security Clearance Status files maintained in security unit to show the security clearance status of individuals in the form of lists or rosters are disposed when superseded or obsolete.

System manager(s) and address: Security Program Manager, Protective Programs Branch, Facilities Management Division, National Office.

Notification procedure: Chief, Protective Programs Branch, Facilities Management Division, National Office. Full name, to include previous names used, date of birth and current status should be provided with inquiry.

Record access procedures: Same as System Manager above.

Contesting record procedures: Same as System Manager above.

Record source categories: Information is provided by the employee, his/her supervisor or employee's personnel record. Security violation information is obtained from a variety of sources, such as guard reports, security inspections, supervisor's reports, Internal Audit Reports, etc.

Treasury/IRS 36.001

System name: Appeals, Grievances and Complaints Records, Administration—Treasury/IRS.

System location: National, Regional and District Offices, POD's, Service Centers, The National Computer Center and The IRS Data Center. (See Appendix A.).

Categories of individuals covered by the system: Applicants for Federal employment, current and former Federal employees, agencies, and annuitants who appeal a determination made by an official of an agency or the Civil Service Commission to the Civil Service Commission, a Board established to adjudicate appeals, or an agency.

Categories of records in the system: This system of records contains information or documents relating to a decision or determination made by an agency or the Commission affecting an individual. The records consist of the initial appeal or complaint, letters or notices to the individual, record of hearings when conducted, materials placed into the record to support the decision or determination, affidavits or statements, testimonies of witnesses, investigative reports, instructions to an agency about action to be taken to comply with decisions, and related correspondence, opinions and recommendations.

Authority for maintenance of the system: Title 5, U.S.C., Sections 1302, 3301, 3302, 4308, 5115, 5338, 5351, 5388, 7151, 7154, 7301, 7512, 7701, 8347, Executive Order 9830, 10577, 10987, 11222, 11478, 11491, and P.L. 93-259.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used: (a) To respond to a request from a Member of Congress regarding the status of an appeal, complaint or grievance. (b) To request information from a federal, state or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as licenses, if necessary to obtain relevant information to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (c) To provide information or disclose to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the letting of a contract, or issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on that matter. (d) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation and in connection with requests for legal advice. Disclosure may be made during judicial processes. (e) Routine disclosure may be made to other agencies to the extent provided by law or regulation and as necessary to report apparent violations of law to appropriate law enforcement agencies. (f) These records may also be used to refer, where there

is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, to any other appropriate agency, whether federal, state, or local, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto. (g) These records may also be disclosed to the Civil Service Commission for the purpose of properly administering Federal Personnel Systems in accordance with applicable laws, Executive Orders and regulations. (h) For additional uses see Appendix AA.

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

Storage: These records are maintained on card files, flat paper, lists, forms, folders, binder, microfilm and microfiche, punch card, and tape.

Retrievability: These records are indexed by the names of the individuals on whom they are maintained.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. This is also in conformance with existing CSC regulations.

Retention and disposal: All records are disposed of in conformance with established retention schedules, IRM 1(15)59-301, General Records Schedule.

System manager(s) and address: Director, Personnel Division, National Office. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: District Director for each District whose records are to be searched; Service Center Director for each Service Center whose records are to be searched; Regional Commissioner for each Regional Office whose records are to be searched; Director, Personnel Division, National Office; Assistant Commissioner (Admin.), National Office; Regional Counsel for each region whose records are to be searched; Director, Disclosure Division for records in the National Office of Chief Counsel; or other appropriate official. (See IRS Appendix A for Locations). Individuals should provide their name, date of birth, agency in which employed, and the approximate date, and the kind of action taken by the agency when making inquiries about records.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the appropriate official listed above. Individuals should provide their name, date of birth, POD, approximate date, and the kind of action taken by the agency when requesting access to, or contest of, records.

Contesting record procedures: See Access.

Record source categories: (a) Individual to whom the record pertains. (b) Agency and/or Commission officials. (c) Affidavits or statements from employee. (d) Testimonies of witnesses. (e) Official document relating to the appeal, grievance, or complaints. (f) Correspondence from specific organization or persons.

Treasury/IRS 36.002

System name: Employee Activity Records, Administration—Treasury/IRS.

System location: National, Regional, and District Offices, POD's, Service Centers, The National Computer Center, and The IRS Data Center (See Appendix A.).

Categories of individuals covered by the system: Current and former employees of the Internal Revenue Service.

Categories of records in the system: This system contains records and information relating to voluntary employee activities and functions which are not directly related to the mission of the IRS or any of its functional components. These records will contain the names of participants and such other information only to the extent that it is necessary for the operation of the activity.

Authority for maintenance of the system: Title 5, U.S.C., Section 302.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential

criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional uses see Appendix AA.

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

Storage: These records are maintained on flat paper, card files, lists, and in folders, and binders.

Retrievability: These records are indexed by the name of the individuals on whom they are maintained.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. This is in conformance with existing CSC regulations.

Retention and disposal: indefinite.

System manager(s) and address: Supervisor of the organizational segment participating in the activity.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the system manager or the individual designated to maintain the record. Inquiring individuals need only provide their name.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the system manager or the individual designated to maintain the record. Inquiring individuals need only provide their name.

Contesting record procedures: See Access.

Record source categories: Information is derived only from the individual to whom the record pertains.

Treasury/IRS 36.003

System name: General Personnel Records (Official Personnel Folder and records related thereto), Administration—Treasury/IRS.

System location: National, Regional and District Offices, POD's, Service Centers, the National Computer Center and the Data Center. (See Appendix A.).

Categories of individuals covered by the system: Current IRS employees and those formerly employed by the IRS (death, resignation, retirement, and separation).

Categories of records in the system: This system consists of a variety of records relating to personnel actions and determinations made about an individual while employed in the Federal service. These records contain information about an individual relating to birth date; Social Security Number; veteran preference; tenure; handicap; past and present salaries, grades, and position titles; letter of commendation, reprimand, charges, and decision on charges; notice of reduction-in-force; locator files; personnel actions, including but not limited to, appointment, reassignment, demotion, detail, promotion, transfer, and separation; training; minority group designator; records relating to life insurance, health benefits, and designation of beneficiary; training; performance ratings; data documenting the reasons for personnel actions or decisions made about an individual; awards; and other information relating to the status of the individual.

This system also consists of a variety of records containing information about an individual relating to position management actions; position classification actions; promotion records; evaluation records; clearance upon separation; suggestion files; financial and tax matters, incoming letters of complaint; employee and former employee locator information; jury duty records; participation in and implementation of special emphasis programs; Combined Federal Campaign records; Unemployment Compensation notices; outside employment statements; savings bond records; and correspondence files pertaining to any of the personnel information referred to in this notice.

Authority for maintenance of the system: Title 5, U.S.C. Section 1302, 2951, 4118, 4308, 4506, and Executive Order 10561, September 13, 1954.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in these records is used or a record may be used: (a) To provide information to a prospective employer of an IRS employee or former IRS employee. (b) To provide data for the automated Central Personnel Data File (CPDF). (c) To provide data to update Federal Automated Career Systems (FACS), Executive Inventory File, and

security investigations index on new hires, adverse actions, and terminations. (d) To provide information or disclose to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the letting of a contract, or issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (e) To request information from a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as licenses. If necessary, obtain relevant information or other pertinent information to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (f) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. (g) Routine disclosure may be made to other agencies to the extent provided by law or regulation and as necessary to report apparent violations of law to appropriate law enforcement agencies. (h) Information in these records is used or a record may be used to refer, where there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, to any other appropriate agency, whether Federal, state, or local, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto. (i) These records may also be disclosed to the Civil Service Commission for the purpose of properly administering Federal Personnel Systems in accordance with applicable laws, Executive Orders, and regulations. (j) For additional uses see Appendix AA.

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

Storage: Records are maintained on magnetic tape, discs, punched cards, flat paper, lists, card files, forms, folders, binders, microfilm and microfiche.

Retrievability: Records are indexed by any combination of name, birth date, Social Security Number, or identification number.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. This is also in conformance with existing CSC regulations.

Retention and disposal: All records are disposed of in conformance with established retention schedules, IRM 1(15)-59-301, General Records Schedule.

System manager(s) and address: Director, Personnel Division.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: District Director for each District whose records are to be searched; Service Center Director for each Service Center whose records are to be searched; Regional Commissioner for each Regional Office whose records are to be searched; Director, Personnel Division, National Office; Assistant Commissioner (Admin.), National Office; Regional Counsel for each region whose records are to be searched; Director, Disclosure Division for records in the National Office of Chief Counsel; or other appropriate official. (See Appendix A.) Inquiries should include name, date of birth, social security number and POD.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the appropriate official listed above. Former IRS employees who wish to gain access to their records should direct such a request in writing, including their name, date of birth, and Social Security Number, to: National Personnel Records Center, General Services Administration, 111 Winnebago St., St. Louis, Missouri 63118.

Contesting record procedures: See Access.

Record source categories: Information in this system of records either comes from the individual to whom it applies or is derived from information he supplied, except information provided by agency officials.

Treasury/IRS 36.004

System name: Labor Management Relations Records, Administration—Treasury/IRS.

System location: National, Regional, and District Offices, POD's, Service Centers, The National Computer Center, and The IRS Data Center (See Appendix A.).

Categories of individuals covered by the system: Employees of the IRS, current and former, who hold or have held bargaining unit positions pursuant to any negotiated LMR agreement covering such individuals and all IRS officials who have participated in the implementation of the terms of such agreements.

Categories of records in the system: This system of records contains information held as a result of bilateral agreements entered into between the IRS and the exclusive representatives of employees. These records include, but are not limited to, lists of bargaining unit employees, lists of union stewards, records of time used by union stewards, records pertaining to dues withholding, records of training pursuant to the agreement, lists of members of EEO Committees, Labor Management Relations Committees, and Training Advisory Committees, records and minutes emanating from any of these committees, narrative recordation, correspondence and records relating to the preparation for and negotiation of agreements, and all other records relating to a negotiated agreement or emanating from any provision of a negotiated agreement.

Authority for maintenance of the system: Executive Order 11491, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used: (a) To respond to a request from a member of Congress regarding anything relating to any of our negotiated agreements. (b) To respond to a court subpoena and/or refer to a district court in connection with a civil suit. (c) To adjudicate any dispute arising from the interpretation of an existing agreement. (d) To resolve disputes before the proper authorities in the negotiation of an agreement. (e) To request information from a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as licenses, if necessary to obtain relevant information to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (f) To provide information or disclose to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the letting of a contract, or issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on that matter.

Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation and in connection with requests for legal advice. Disclosure may be made during judicial processes. Routine disclosure may be made to other agencies to the extent provided by law or regulation and as necessary to report apparent violations of law to appropriate law enforcement agencies. These records and information in the records may also be used to refer, where there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, to any other appropriate agency, whether Federal, state, or local, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto. These records may also be disclosed to the Civil Service Commission for the purpose of properly administering Federal Personnel Systems in accordance with applicable laws, Executive Orders, and regulations. For additional uses see Appendix AA.

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

Storage: These records are maintained on card files, flat paper, forms, lists, folders, and binders.

Retrievability: These records are indexed by the names of the individuals on whom they are maintained.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. This is also in conformance with existing CSC regulations.

Retention and disposal: indefinite.

System manager(s) and address: Director, Personnel Division.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to (District Director for each District whose records are to be searched);

(Service Center Directors for each Service Center whose records are to be searched); (Regional Commissioners for each Regional Office whose records are to be searched); (Director, Personnel Division, National Office); (Assistant Commissioner (Administration), National Office); or other appropriate official. Individuals should provide their name, POD, the approximate date and the general nature of the record when making inquiries about records (See Appendix A.).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR, Part 1, Subpart C, Appendix B. Inquiries should be addressed to the appropriate official listed above. Individuals requesting information in this system of records should provide their full name, date of birth, social security number, and the POD in which currently or formerly employed.

Record source categories: (a) Individual to whom the record pertains. (b) Agency officials. (c) Affidavits or statements from employee. (d) Testimony of witnesses. (e) Official documents relating to the negotiated agreement. (f) Correspondence from specific organizations or persons.

Treasury/IRS 36.005

System name: Medical Records, Administration—Treasury/IRS.

System location: (1) Applicants and current IRS employees: National, Regional and District Offices, POD's, the National Computer Center and the Data Center (See Appendix A.). (2) Former IRS employees: National Personnel Records Center, 111 Winnebago Street, St. Louis, Missouri 63118. Records may also be maintained in the National Regional and District Offices, POD's, Service Centers, the National Computer Center and the Data Center (See Appendix A.).

Categories of individuals covered by the system: (1) Applicants for IRS employment. (2) Applicants rejected on medical grounds. (3) Applicants for disability retirement under the Civil Service Retirement Law. (4) IRS employees. (5) Former IRS employees.

Categories of records in the system: (1) Applications for IRS employment containing information relating to an individual's medical qualifications to hold a position in the IRS. (2) Applications rejected on medical grounds. Information relating to an applicant's rejection for a position because of medical reasons. (3) Disability retirement records. Information relating to an individual's capability (physical and mental) to satisfactorily perform the duties of the position he or she holds or held. (4) Health unit medical records (Federal civilian employees). Information relating to an employee's participation in an occupational health services program. (5) Qualification examinations (Federal employees). Information relating to pre-employment, or periodic re-qualification medical examinations to assure that the incumbent are qualified (physically and mentally) to satisfactorily perform the duties of the position. (6) Fitness-for-duty examinations. Information relating to a medical examination to determine an individual's physical or mental condition with respect to ability to satisfactorily perform the duties of the position held. (7) Alcohol/drug patient information records. Information relating to employee participation in the Federal Civilian Employee Alcoholism and Drug Abuse Program. (8) Former IRS employees. Any of the categories of records enumerated above may be retained in a former IRS employee's Official Personnel Folder at the National Personnel Records Center, St. Louis, Missouri. (9) Injury Compensation Records. Information relating to on-the-job injuries of employees and former employees. (10) Records relating to the Blood Donor Program.

Authority for maintenance of the system: Medical Information relating to the Retirement, Life Insurance and Health Benefits Programs—5 USC, Chapters 83, 87 and 89. Information relating to physical and mental qualifications for Federal employment—5 USC 3301. Information relating to the Alcoholism and Drug Abuse Programs—Public Laws 91-616 and 92-255 which are amended in regard to confidentiality of patient records by Public Law 93-282. Information relating to the Occupational Health Program—Public Law 79-658 (5 USC 7901) as further defined in OMB Circular A-72.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in these records may be provided to officials of other Federal agencies responsible for other Federal benefit programs administered by: (a) Office of Workmen Compensation Programs. (b) Retired Military Pay Centers. (c) Veterans Administration. (d) Social Security Administration. (e) Specific Private contractors engaged in providing

benefits under Federal contracts. (f) Civil Service Commission. Routine Disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. Routine disclosure may be made to other agencies to the extent provided by law or regulation and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Information in these records is used or a record may also be used: (a) to refer, where there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, to any other appropriate agency, whether federal, state, or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.

(b) to request information from a federal, state or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as license, if necessary to obtain relevant information to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

(c) to provide information or disclosure to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the letting of a contract, or issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on that matter.

(d) For additional routine uses see Appendix AA.

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

Storage: Records are maintained on magnetic tape, discs, flat paper, lists, forms, folders, card files, microfilm and microfiche.

Retrievability: Records are indexed by name, social security number, date of birth, and/or claim number.

Safeguards: Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: All records are disposed of in conformance with established retention schedules, IRM 1(15)59-301, General Records Schedule.

System manager(s) and address: Director, Personnel Division, National Office; Director, Administrative Services Division, National Office and Regional Councils. (See IRS Appendix A for Locations).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: District Director for each District whose records are to be searched; Service Center Director for each Service Center whose records are to be searched; Regional Commissioner for each Regional Office whose records are to be searched; Director, Personnel Division, National Office; Assistant Commissioner (Administration), National Office; Regional Counsel for each region whose records are to be searched; Director, Disclosure Division for records in the National Office of Chief Counsel; or other appropriate official. (See IRS Appendix A for Location). Former employees should direct inquiries to: The National Personnel Records Center, 111 Winnebago Street, St. Louis, Missouri 63118. Individuals requesting information about this system of records should provide their full name, date of birth, social security number, name and address of office in which currently or formerly employed in the Federal service, and annuity account number, if any has been assigned.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the appropriate official listed above.

Contesting record procedures: See Access above.

Record source categories: (1) The individual to whom the record pertains. (2) Private physicians. (3) Medical institutions. (4) Office of Workers' Compensation Programs. (5) Military Retired Pay Systems Records. (6) Federal civilian retirement systems other than Civil Service Retirement System. (7) General Accounting Office pay, leave allowance cards. (8) CSC Retirement, Life Insurance and Health Benefits Records System. (9) CSC Personnel Management Records System.

Treasury/IRS 36.006

System name: Personnel Investigation Records, Administration—Treasury/IRS.

System location: National, Regional and District Offices, POD's, Service Centers, The National Computer Center and the Data Center.

Categories of individuals covered by the system: Current and former applicants for employment in the IRS. Current and former IRS employees. Individuals considered for access to classified information or restricted areas and/or security determinations as contractors, employees of contractors, experts, instructors, and consultants to Federal programs. Individuals considered for assignment as representatives of the Federal Government in volunteer programs. Individuals who are neither applicants nor employees of the IRS, but are or were involved in Federal programs under a cooperative assignment or similar agreement. Individuals who are neither applicants nor employees of the IRS, but are or were involved in matters related to the Administration of the merit system.

Categories of records in the system: These records contain investigative information regarding an individual's character, conduct, behavior, in the community where he or she lives; arrests and convictions for any violations against the law; reports of interviews with former supervisors, co-workers, associates, educators, etc.; reports about the qualifications of an individual for a specific position; reports of inquiries with law enforcement agencies, former employers, educational institution attended; and other information developed from the above.

Authority for maintenance of the system: Section 2, Civil Service Act of 1883—original authority, now codified in Title 5, U.S.C. Section 5.2, Civil Service Rule V. Section 1303 and 304, Title 5, U.S.C. Sections 8(b), 8(c) and 9(c), Executive Order 10450. Public Law 92-261 and Sections 713.216 and 713.220 of the Civil Service Regulations. Section 7701, Title 5, U.S.C. Code (formerly Section 14 of the Veterans Preference Act of 1944, as amended), and Executive Order. Sections 1501-1508 and 7324-7327 of Title 5, U.S.C. Code (formerly Section 12(b) of the Hatch Act). Section 2165 of Title 42, U.S. Code (formerly the National Aeronautics and Space Act, P.L. 85-568). Section 2585 of Title 22, U.S. Code (formerly P.L. 87-287). Section 1434 of Title 22, U.S. Code (formerly P.L. 80-402). In addition to the provisions cited above, there are various acts of Congress that contain implied authority for the Commission to investigate, such as laws prohibiting the purchase and sale of office, holding of two offices, conspiracy and other prohibitory statutes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The contents of these records and files may be disclosed and used as follows: (a) To designated officers and employees of other agencies and departments of the Federal Government, and the District of Columbia Government, having an interest in the individual for employment purposes, including a security clearance or access determination, and a need to evaluate qualifications, suitability, and loyalty to the United States Government. (b) To designated officers and employees of other agencies and departments of the Federal Government to avoid duplication when such agency or department conducts an investigation of the individual for the purpose of granting a security clearance, or for the purpose of making a determination of qualifications, suitability, loyalty to the United States Government, or access to classified information or restricted areas. (c) To designated officers and employees of other agencies and departments of the Federal Government having the responsibility to grant security clearance, make a determination regarding access to classified information or restricted areas, or to evaluate qualifications, suitability, or loyalty to the United States Government, in connection with performance of a service to the Federal Government under a contract or other agreement. (d) To any agency of the Federal Government having oversight or review authority with regard to IRS activities. (e) To any source from which information is requested in the course of an investigation, to the extent necessary to identify the individual, inform the source of the nature and purpose of the investigation. (f) To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on matters.

Routine disclosure of information contained in this system of records may also be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation,

and in connection with requests for legal advice. Disclosure may be made during judicial processes. In the event of an indication of any violation or potential violation of the law, whether civil, criminal, or regulatory in nature, and whether arising by statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the systems of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, Local, or Foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; such referral shall also include, and be deemed to authorize, (1) any and all appropriate and necessary uses of such records in a court of law and before an administrative board or hearing, including referrals related to probation and parole matters, and (2) such other inter-agency referrals as may be necessary to carry out the receiving agency's assigned law enforcement duties. These records may also be disclosed to the Civil Service Commission for the purpose of properly administering Federal Personnel Systems in accordance with applicable laws, Executive Orders and regulations. For additional routine uses see Appendix AA.

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

Storage: These records are maintained in card files, lists, flat paper, forms, folders, microfilm and microfiche, punch card, and tape.

Retrievability: Records are indexed by name, alphabetically.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. This is also in conformance with existing CSC regulations.

Retention and disposal: All records are disposed of in conformance with established retention schedules, IRM 1(15)59-301, General Records Schedule.

System manager(s) and address: Director, Personnel Division, National Office, (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: District Director for each District whose records are to be searched; Service Center Director for each Service Center whose records are to be searched; Regional Commissioner for each Regional Office whose records are to be searched; Director, Personnel Division, National Office; Assistant Commissioner (Administration), National Office; or other appropriate official. (See IRS Appendix A for Locations). The request should include the full name and date and place of birth of the individual, and any available information regarding the type of record involved, and the category of individual under which the inquirer feels he or she fits.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the appropriate official listed above. Portions of this system of records may not be accessed for purposes of inspection or for contest of content of records, in accordance with various exemptions authorized by the Privacy Act of 1974.

Contesting record procedures: See Access above.

Record source categories: Information contained in the system was obtained from the following categories of sources: Applications and other personnel and security forms furnished by the individual; Investigative material furnished by other federal agencies; Notices of personnel actions furnished by other Federal agencies; By personal investigation or written inquiry from sources such as: Employers, Schools, References, Neighbors, Associates, Police Departments, Courts, Credit Bureau, Medical Records, Probation Officials, Prison Officials; Newspaper, magazines, periodicals, and other publications; Published hearings of Congressional Committees.

Systems exempted from certain provisions of the act: Portions of this system proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 36.008

System name: Recruiting, Examining and Placement Records, Administration—Treasury/IRS.

System location: National, Regional and District Offices, POD's, The National Computer Center and The Data Center, (See Appendix A.)

Categories of individuals covered by the system: Persons who have applied for IRS employment or are employed in the IRS.

Categories of records in the system: These records contain information relating to the education and training; employment history and earnings; appraisal of past performance; convictions offenses against the law; results of written tests; appraisal of potential; honors, awards or fellowships; military service; veteran preference; birthplace; birth date; social security number; and home address of persons who have applied for Federal employment or are employed in the Federal Service. Records may also contain information relating to eligibility for or participation in special emphasis placement and recruiting program; placement follow-up; and employee turnover. Records may also be correspondence pertaining to any of the personnel information referred to in this notice.

Authority for maintenance of the system: Title 5 U.S.C., Sections 1302, 3109, 3301, 3302, 3304, 3306, 3307, 3309, 3313, 3317, 3318, 3319, 3326, 3349, 4103, 5532, 5533, 5723, and Executive Orders 10577 and 11103.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. (2) Routine disclosure may be made to other agencies to the extent provided by law or regulation and as necessary to report apparent violations of law to appropriate law enforcement agencies. (3) These records may also be disclosed to the Civil Service Commission for the purpose of properly administering Federal Personnel Systems in accordance with applicable laws, Executive Orders and regulations. (4) Information in these records is used or a record may be used: (a) to refer applicants to officials of Federal government agencies for purposes of consideration for placement in positions for which an applicant has applied and is qualified. (b) to refer applicants to state and local governments with permission of an applicant for the purpose of employment consideration. (c) to refer current IRS employees to Federal agencies for consideration for transfer, reassignment, and promotion. (d) to refer, where there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, to any other appropriate agency, whether federal, state, or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule. (e) to request information from a federal, state or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as licenses, if necessary to obtain relevant information to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit. (f) To provide information or disclose to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the letting of a contract, or issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on that matter. (5) For additional uses see Appendix AA.

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

Storage: Records are maintained on magnetic tapes, punched cards, discs, card files, lists, flat paper, microfilm, microfiche, forms and folders.

Retrievability: Records are indexed by name, combination of birth date, special security account number, and an identification number that is applicable.

Safeguards: "Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41." This is in conformance with existing CSC regulations.

Retention and disposal: All records are disposed of in conformance with established retention schedules, IRM 1(15) 59-301, General Records Schedule.

System manager(s) and address: Director, Personnel Division.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: (District Director for each District whose records are to be searched); (Service Center Director for each Service Center whose records are to be searched); (Regional Commissioner for each Regional Office

whose records are to be searched); (Director, Personnel Division, National Office); (Assistant Commissioner (Admin), National Office); or other appropriate official. (See Appendix A.). Individuals should provide name, date of birth, social security number, identification number (if known), approximate date of record, and title of examination or announcement with which concerned.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the appropriate official as listed above. This system of records may not be accessed for purposes of inspection or for contest of content of Treasury Forms 4825 (Evaluation of Candidates for Initial Executive Placement) and Treasury Form 4245 (Report of Managerial Potential) prepared prior to September 27, 1975.

Contesting record procedures: See Access.

Record source categories: Information in this system of records either comes from the individual to whom it applies or is derived from information he or she supplied, except reports from medical personnel on physical qualification; results of examination which are made known to applicants and vouchers supplied by references the applicant lists.

Systems exempted from certain provisions of the act: This system proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 36.007

System name: Personnel Research and Test Validation Records, Administration—Treasury/IRS.

System location: National, Regional and District Offices, FOD's, Service Centers, The National Computer Center and The IRS Data Center, (See Appendix A.).

Categories of individuals covered by the system: IRS employees; applicants for IRS employment.

Categories of records in the system: These records include education and employment history, test scores, responses to test items and questionnaires, interview and ratings of supervisors regarding the individuals to whom the records pertain.

Authority for maintenance of the system: Title 5, U.S. Code Sec 3301, Sec. 1303.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine use includes the exchange of personnel records between the Civil Service Commission and the IRS for personnel research purposes and the use of personal identifier such as employee name to identify employees included in research studies that extend over a period of time (longitudinal studies). No personnel decisions are made in the use of these research records. Personal information in this system of records is used by the personnel research staff in the IRS or the Civil Service Commission. Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. Routine disclosure may be made to other agencies to the extent provided by law or regulation and as necessary to report apparent violations of law to appropriate law enforcement agencies.

These records may also be disclosed to the Civil Service Commission for the purpose of properly administering Federal Personnel Systems in accordance with applicable laws, Executive Orders and regulations. These records may be also used: To refer, where there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, to any other appropriate agency, whether Federal, state, or local charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. For additional uses see Appendix AA.

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

Storage: Records may be maintained on magnetic tape, discs, punch cards, flat paper, lists, card files, forms, folders, microfilm and microfiche.

Retrievability: Records are maintained by project. Personal information can be retrieved by name or personal identifier only for certain research projects such as those that involve longitudinal studies. Confidential and/or protected information such as ratings and test materials will not be disclosed.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Indefinite.

System manager(s) and address: Director, Personnel Division.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: (District Director for each District whose records are to be searched); (Service Center Director for each Service Center whose records are to be searched); (Regional Commissioner for each Regional Office whose records are to be searched); (Director, Personnel Division, National Office); (Assistant Commissioner (Administration), National Office); or other appropriate official. (See Appendix A.). Individuals should provide their name, social security number, POD, approximate date and general nature of record involved.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the appropriate official listed above. Individuals should provide their name, social security number, POD approximate date and general nature of record involved.

Contesting record procedures: See Access.

Record source categories: Individual Federal, state or local employees or applicants, supervisors, assessment center assessors or data from agency or Commission personnel files and records.

Treasury/IRS 36.009

System name: Retirement, Life Insurance and Health Benefits Records System, Administration—Treasury/IRS.

System location: National, Regional and District Offices, POD's, Service Centers, the National Computer Center, and the IRS Data Center. (See Appendix A.). For former employees: Records Division, Bureau of Retirement, Insurance and Occupational Health, U.S. Civil Service Commission, Boyers, Pennsylvania.

Categories of individuals covered by the system: (1) IRS employees who are covered by the Civil Service Retirement System. (2) IRS employees who have either declined or are covered by the Federal Employees' Group Life Insurance Program or the Federal Employees Health Benefits Program.

Categories of records in the system: (1) Documentation of Federal service creditable under the Civil Service Retirement System. (2) Documentation of coverage or declination of coverage under the Federal Employees' Group Life Insurance Program, and the Federal Employees Health Benefits Program. (3) Documentation of claim for refund or for annuity benefits under Civil Service Retirement System. (4) Documentation of claim for survivor annuity or death benefits under Civil Service Retirement System. (5) Medical records supporting claims for disability retirement under the Civil Service Retirement System. (6) Designations of beneficiary for benefits payable under the Civil Service Retirement System or the Federal Employees' Group Life Insurance Program. (7) All other information necessary to enable offices to recruit annuitants for short term assignments and to send them requested publications.

Authority for maintenance of the system: Chapters 83, 87, and 89 of Title 5, United States Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Information in this system is used to determine eligibility for coverage and payment of benefits under the Civil Service Retirement System, the Federal Employees' Group Life Insurance Program and the Federal Employees Health Benefits Program. (2) Information in this system is used to determine the amount of benefit due under the Civil Service Retirement System, the Federal Employees' Group Life Insurance Program and the Federal Employees Health Benefits Program. (3) Information in this system is used to transfer to Office of Workers' Compensation Programs, Veterans Administration Pension Benefits Program, Social Security Old Age, Survivor and Disability Insurance and Medicare Programs, and Federal civilian employee retirement systems other than the Civil Service Retirement System, when requested by that program or system or by the individual covered by this system of records, for use in determining an individual's claim for benefits under such system. (4) Information in this system is used to transfer information necessary to support a claim for life insurance benefits under the Federal Employees' Group Life Insurance Program to the Office of Federal

Employees' Group Life Insurance, 4 East 24th Street, New York, N.Y. 10010. (5) Information in this system is used to transfer information necessary to support a claim for health insurance benefits under the Federal Employees Health Benefits Program to a health insurance carrier or plan participating in the program. (6) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation and in connection with requests for legal advice. Disclosure may be made during judicial processes. (7) Routine disclosure may be made to other agencies to the extent provided by law or regulation and as necessary to report apparent violations of law to appropriate law enforcement agencies. (8) Information in this system is used to refer, where there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, to any other appropriate agency, whether Federal, State or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (9) Information in this system is used to request information from a Federal, state or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as licenses, if necessary to obtain relevant information to an agency decision concerning the hiring or retention of an employee, the issuance of a license, grant or other benefit. (10) Information in this system is used to provide information or disclose to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the letting of a contract, or issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on that matter. (11) These records may also be disclosed to the Civil Service Commission for the purpose of properly administering Federal Personnel Systems in accordance with applicable laws, Executive Orders and regulations. (12) For additional uses see Appendix AA.

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

Storage: Records are maintained on magnetic tapes, punched cards, discs, forms, flat paper, card files, lists, folders, microfilm and microfiche.

Retrievability: Records are indexed by name, social security number, birth date, and by annuity or death claim number.

Safeguards: Access Controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. This is also in conformance with existing CSC regulations.

Retention and disposal: All records are disposed of in conformance with established retention schedules, IRM 1(15)59-301, General Records Schedule.

System manager(s) and address: Director, Personnel Division, National Office, Director, Administrative Services Division, National Office and Regional Counsels (See IRS Appendix A for Locations.).

Notification procedure: (1) Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR, Part 1, Subpart C, Appendix B. Inquiries should be addressed to: District Director for each District whose records are to be searched; Service Center Director for each Service Center whose records are to be searched; Regional Commissioner for each Regional Office whose records are to be searched; Director, Personnel Division, National Office; Assistant Commissioner (Administration), National Office; Regional Counsel for each region whose records are to be searched; Director, Disclosure Division for records in the National Office of Chief Counsel; or other appropriate official. (See IRS Appendix A for Locations.) (2) If the individual is retired from Federal service he should direct inquiries to: Director, Bureau of Retirement, Insurance, and Occupational Health, U.S. Civil Service Commission, 1900 H. Street, N.W., Washington, D.C. 20415. (3) If the individual is not retired, but has been separated from Federal service, he should direct inquiries to: National Personnel Records Center, 111 Winnebago Street, St. Louis, Missouri 63118.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the appropriate official listed above.

Contesting record procedures: See Access. Individuals requesting information in this system of records should provide their full name, date of birth, social security number, claim number, if assigned, and the POD in which currently or formerly employed.

Record source categories: The information in this system is obtained from the following sources: (1) The individual whom the information is about. (2) GAO Pay, Leave and Allowance Records System. (3) CSC Personnel Management Records System. (4) GSA National Personnel Records Center. (5) CSC Medical Records System. (6) Federal civilian retirement systems other than Civil Service Retirement System. (7) Military retired pay system records. (8) Office of Workers' Compensation Programs. (9) Veterans Administration Pension Benefits Programs. (10) Social Security Old Age, Survivor and Disability Insurance and Medicare Programs.

Treasury/IRS 38.001

System name: General Training Records, Administration—Treasury/IRS.

System location: National Office, Regional Offices, District Offices, Service Centers (See Appendix A.).

Categories of individuals covered by the system: IRS employees who have participated (students, instructors, program managers, etc.) in training activities. Other Federal or non-Government individuals who have assisted (instructors, course developers, or interpreters) for training programs.

Categories of records in the system: Variety of records containing information about an individual related to training; such as: course rosters, student registrations, nomination forms, course evaluations, instructor lists, individual development plans, counseling records, examination materials, payment records, and other recordings of training necessary for reporting and evaluative purposes.

Authority for maintenance of the system: Chapter 41, Title 5 USC; EO 11348; and FPM 410.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system may be made available to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional uses see Appendix AA.

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

Storage: Records may be maintained on computer tapes, index cards, forms, or flat paper.

Retrievability: Computer records are indexed by social security account numbers; other records by name or course title.

Safeguards: Computer records available only to CSC and System Manager; other records restricted to employees directly involved with training function.

Retention and disposal: All records are disposed of in accordance with established retention schedules. 1(15)59-301, General Records Schedule.

System manager(s) and address: Director, Training Division, National Office; Chief, Training Branches, Regional and District Offices, and Service Centers (See Appendix A.).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR, Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each office whose records are to be searched, see System Manager.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR, Part 1, Subpart C, Appendix B. Inquiries should be addressed to the System Manager for each Office whose records are to be accessed or contested, see System Manager.

Contesting record procedures: See Access.

Record source categories: Information taken from participants' registration forms, and other input documents (e.g., Form 5061, Reporting Training and Obligor Funds; and Form 5092, Individual Training Record).

Treasury/IRS 42.001

System name: Audit Administrative File—Treasury/IRS

System location: Jurisdictional District Office where the individual resides. (See IRS Appendix A.)

Categories of individuals covered by the system: Any taxpayer who is being considered for examination or is being examined for tax determination purposes, i.e., income, estate and gift, excise or employment tax liability.

Categories of records in the system: Records containing investigatory materials required in making a tax determination or other verification in the administration of tax laws and all other related sub-files directly related to the processing of the tax case. This system also includes other management material related to a case and used for tax administrative purposes including the appeals process.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses, see Appendix AA.

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

Storage: paper documents.

Retrievability: by taxpayer's name and social security number and employer identification number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1 (1641).

Retention and disposal: Indefinite period of retention.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division, Officials maintaining the system—Director of jurisdictional District Office (See IRS Appendix A.).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched. This system may contain some records which are exempt from the notification provisions of the Privacy Act. Requesters will not be advised of the existence of records exempt from the notification provisions.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested. This system may contain some records which are exempt from the Access and Contest provisions of the Privacy Act. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: (1) taxpayer's return, (2) taxpayer's books and records, (3) Informants and third party information, (4) city, state governments, (5) other federal agencies, (6) examinations of related taxpayers, (7) examinations of other taxpayers, (8) taxpayer's representative.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 42.025

System name: Appraisal and Valuation Files—Treasury/IRS.

System location: Jurisdictional District Office where individual resides. (See IRS Appendix A.)

Categories of individuals covered by the system: Individuals whose examinations warrant an appraisal or valuation of real estate, stock, fees, or any other commodity or service which does not have a readily ascertainable value.

Categories of records in the system: Listing of individuals, items valued or appraised, date of valuation or appraisal, and other descriptive matter such as the name of the corporation with regards to stock and a description of the location in terms of real estate.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7602, 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper documents, file cabinets.

Retrievability: By taxpayer's name and social security number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Indefinite period of retention.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division. Officials maintaining the system—Director of jurisdictional District Office. (See IRS Appendix A)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested.

Contesting record procedures: See Access above.

Record source categories: (1) outside engineer valuation; (2) outside fee appraisers; (3) taxpayer's returns; (4) taxpayer's books and records; (5) taxpayer's representative; (6) trade journals and publications; (7) public records.

Treasury/IRS 42.008

System name: Audit Information Management System (AIMS)—Treasury/IRS.

System location: To be piloted in the Atlanta Service Center and the five Districts served by that center. The five Districts are Atlanta, Columbia, Jacksonville, Birmingham and Jackson. After the pilot has proven successful, nationwide implementation will be considered during July 1 and October 1, 1976 (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers whose tax returns are under the jurisdiction of the Audit Division; Examining Officer.

Categories of records in the system: Tax return information from the Master File, Tax return status and location changes, Audit Closing information on examined and non-examined tax returns, examining officer's name including related internal management information.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Computer; Microfilm; Paper.

Retrievability: Social Security number, taxpayer's name, examining officer's name.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Computer: Agreed cases are eliminated from data base 90 days after case is closed from Audit; unagreed cases are eliminated from data base after tax liability is agreed to. "A" Register Microfilm: 6 years or earlier. Examination Record Forms 1247 (including temporary and interim processing files for management and control purposes): 6 years or earlier.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division. Officials maintaining the system—Each jurisdictional (taxpayer's place of residence) District Director; Each jurisdictional (the Service Center where taxpayer's tax return was filed) IRS Service Center. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory materials compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System is proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 42.016

System name: Classification and Audit Selection Files—Treasury/IRS

System location: Jurisdictional District Office where individual resides. (See IRS Appendix A).

Categories of individuals covered by the system: Individuals whose returns are classified for audit.

Categories of records in the system: Listing of individuals or returns and sub-files consisting of financial information and other information considered in classification and selection of an individual's return for examination—individual's request for audit, missing return information, change in accounting method or period, etc.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7602, 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: paper documents, computer printouts.

Retrievability: by taxpayer's name and social security number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: until information is associated with return.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division. Officials maintaining the system—Director of jurisdictional District. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched.

This system may contain some records which are exempt from the notification provisions of the Privacy Act. Requesters will not be advised of the existence of records exempt from the notification provisions.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested. This system may contain some records which are exempt from the Access and Contest provisions of the Privacy Act. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: (1) Tax returns, (2) Requests from taxpayer, (3) Requests from Collection Division for prompt examination.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 42.021

System name: Compliance Programs and Projects Files—Treasury/IRS.

System location: Initiated and maintained in National Office, Regional Offices, or jurisdictional District where taxpayer resides. (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayers that may be involved in tax evasion schemes or areas of non-compliance grouped by industry, occupation or financial transactions, i.e., return preparers, political contributions, corporate kickbacks.

Categories of records in the system: Records pertaining to individuals in project, such as Joint Compliance.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7602, 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: paper records.

Retrievability: by taxpayer's name and social security number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Indefinite period of retention.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division. Officials maintaining the system—Director of jurisdictional District. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 42.024

System name: Coordinated Examinations of Large Cases Program—Treasury/IRS.

System location: Jurisdictional District Office where taxpayer resides. (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayer whose tax audit is identified as a large case examination.

Categories of records in the system: Alphabetic listing of taxpayers and all other related files including those used for management purposes.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7602, 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper documents.

Retrievability: Taxpayer's name and social security number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Indefinite period of retention.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division. Officials maintaining the system—Director of jurisdictional District. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched.

This system may contain some records which are exempt from the notification provisions of the Privacy Act. Requesters will not be advised of the existence of records exempt from the notification provisions.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested.

This system may contain some records which are exempt from the Access and Contest provisions of the Privacy Act.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: (1) Taxpayer's returns, (2) Annual reports, (3) Corporate minutes, (4) Large case proposed change in key district, (5) Published documents.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 42.005

System name: Correspondence Files—Treasury/IRS.

System location: Director, Audit Division, National Office (See IRS Appendix A.)

Categories of individuals covered by the system: (1) Taxpayers corresponding with the National Office Audit Division, either directly or through Congressmen or other elected governmental officials, (2) Congressmen and other elected government officials corresponding with IRS on Audit matters.

Categories of records in the system: This system consists of incoming letters. Field reports which are requested when necessary, copies of responses and other materials incidental to the correspondence.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation and in connection with requests for legal advice and as necessary to report apparent violations of law to appropriate law enforcement agencies. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper records in folders, filed alphabetically and kept in filing cabinets.

Retrievability: By name of individual who initiated the correspondence. Taxpayer correspondence is retrievable by taxpayers name. General inquiries from congressmen or other elected officials are retrievable by name of correspondent.

Safeguards: Filing cabinets are kept in rooms which are locked except when occupied by authorized personnel.

Retention and disposal: Retained 3 years and then destroyed.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division, National Office. (See IRS Appendix A). Official maintaining the system—Director, Audit Division, National Office.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: Director, Audit Division, National Office.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: Director, Audit Division, National Office.

Contesting record procedures: See Access above.

Record source categories: Materials in the System are provided by: (1) The individual to whom they pertain. (2) Field Offices which provide information pertaining to the taxpayers correspondence. (3) Limited information is sometimes provided by correspondents writing in behalf of a taxpayer.

Treasury/IRS 42,002

System name: Correspondence Files, Audit—Treasury/IRS

System location: Regional and District Offices throughout the U.S. (See IRS Appendix A).

Categories of individuals covered by the system: (1) Taxpayers, practitioners and general members of the public corresponding with IRS offices on audit matters. (2) Congressmen and other elected government officials corresponding with IRS offices on audit matters.

Categories of records in the system: Incoming letters, copies of reports and other materials necessary to respond to correspondent's inquiries or requests, and copies of responses.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Routine disclosure of information contained in the system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. (2) Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. For additional routine uses see Appendix AA.

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

Storage: Records are generally maintained in file folders.

Retrievability: By taxpayer's or correspondent's name.

Safeguards: Records are stored in lockable metal file cabinets or desks and located in secured rooms with access limited to authorized personnel.

Retention and disposal: Retention and disposal. No uniform period of time has been established on a National basis. Some Regional and District offices have established guidelines for retention for one to three years after which they are destroyed. Others retain them indefinitely.

System manager(s) and address: Regional Commissioners and/or District Directors. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested.

Contesting record procedures: See Access above.

Record source categories: Materials in the system are provided by: (1) The taxpayer, practitioner or other person corresponding with IRS. (2) IRS reports containing information necessary for a response.

Treasury/IRS 42,027

System name: Data on Foreign Corporations—Treasury/IRS.

System location: IRS Data Center, Detroit, Michigan; National Office Audit Division, Washington, D.C.; District Offices; Regional Offices. (See IRS Appendix A.)

Categories of individuals covered by the system: Individuals required to file Form 959, United States Information Return with Respect to the Organization or Reorganization of a Foreign Corporation and Acquisition of its stock.

Categories of records in the system: Names of individuals filing on foreign holdings.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Magnetic tape in Data Center; Paper at other listed locations.

Retrievability: By individual name.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 116(41).

Retention and disposal: Three years or earlier.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division, National Office. Officials maintaining the system—District Directors; Regional Commissioners; Director, Audit Division, National Office; Director, Data Center, Detroit, Michigan. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the System of Records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched.

Record access procedures: Individuals seeking access to any record contained in the System of Records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested. Taxpayers seeking to adjust records

which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Form 959 only.

Treasury/IRS 42.010

System name: Enrollment and Practice Files—Treasury/IRS

System location: Director, Audit Division, National Office, District Director in each IRS District Office. (See IRS Appendix A).

Categories of individuals covered by the system: (1) Practitioners authorized to practice before the IRS under Treasury Department Circular No. 230. (2) Applicants for enrollment to practice before the IRS. (3) Applicants to take the written examination preparatory for enrollment to practice before the IRS. (4) Enrolled agents whose authorizations to practice before the IRS have terminated (disbarment, suspension, resignation etc.). (5) Return preparers.

Categories of records in the system: (1) Materials related to enrollment to practice before the IRS, including applications, verifications of statements, investigation reports to establish qualification, disciplinary actions and other miscellaneous data related to enrollment. (2) Data related to return preparer and practitioner activities including public notifications of non-compliance with representation requirements, improper preparer practices, investigatory reports and related information. (3) Information being reported to the Director of Practice as required by Treasury Department circular No. 230.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To make rosters available for public inspection of authorized enrollees and persons disbarred or suspended from practice as prescribed by Section 10.90 of TD Circular 230. Copies of rosters of enrollees are available for a nominal charge. (2) To respond to inquiries concerning a person's enrolled status. (3) Routine disclosure of information contained in the system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. (4) Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. (5) Routine disclosure on specific information may be made on a limited basis to determine correctness of information furnished to make an administrative determination with respect to applicants, enrollees and/or practitioners. For additional routine uses see Appendix AA.

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

Storage: Paper records consisting of index cards are stored alphabetically in card files, and folders containing applications, correspondence and related materials are stored in filing cabinets. Rosters of enrollees are maintained on computer tape and listings are reproduced as needed.

Retrievability: Files are retrievable by the name of the individual subject to enrollment and representation procedures.

Safeguards: Files are under the supervision of an analyst designated to act on applications and enrollment matters. Access controls will not be less than provided for by the Physical and Documents Security Handbook, IRM 1(16)41.

Retention and disposal: Rosters of current enrollees and of persons disbarred or suspended are retained as necessary to keep current. Rosters of applications denied or withdrawn are disposed of 10 years after denial or withdrawal. Files for enrollees are kept indefinitely. Files on enrollees who are disbarred are scheduled for disposal 50 years after disbarment. Files for suspended enrollees are reestablished in regular enrollee files after serving suspension. Files on persons whose enrollment is terminated for other than disbarment and persons whose applications have been denied or withdrawn are disposed of 5 years after denial or withdrawal.

System manager(s) and address: Official prescribing policies and practices—Commissioner of Internal Revenue. Officials maintaining the system—Director, Audit Division, National Office, and District Directors of IRS Offices in applicant's or practitioner's jurisdictional area. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched or to the Director, Audit Division, National Office if National Office records are to be searched.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested or to the Director, Audit Division, National Office if National Office records are to be accessed or contested.

Contesting record procedures: See Access above.

Record source categories: Materials in the system are provided by: (1) The individual to whom they pertain. (2) Investigation reports to verify data on applications and to determine applicants' qualifications and suitability for enrollment. (3) Interested third parties who inquire on enrollees' status or provide information relating thereto.

Treasury/IRS 42.007

System name: Experts in Economic Assistance Examinations—Treasury/IRS.

System location: Director, Audit Division, National Office (See IRS Appendix A).

Categories of individuals covered by the system: Experts in selected industries identified for use as witnesses or advisors to economists.

Categories of records in the system: Qualifications of experts, agreement of employment and correspondence on individuals listed used to provide qualifications to authorized internal users, review terms of agreement and maintain control of assignments.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation and in connection with requests for legal advice. Disclosure may be made to other Federal agencies seeking to identify experts in selected industries to seek their counsel. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper materials stored in file folders.

Retrievability: Indexed by name under industry heading.

Safeguards: Records are maintained in filing cabinets in offices which are locked except when occupied by authorized users.

Retention and disposal: Records are maintained until final determination of the case or work on the industry and then destroyed.

System manager(s) and address: Official prescribing policies and practices—Chief, Audit Division, National Office. Officials maintaining the system—Director, Audit Division, National Office. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Director, Audit Division, National Office.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Director, Audit Division, National Office.

Contesting record procedures: See Access above.

Record source categories: Individuals on whom the record is maintained, published lists of experts and internal working documents.

Treasury/IRS 42.006

System name: Expropriation of Property by Cuban Government—Treasury/IRS.

System location: Director, Audit Division, National Office (See IRS Appendix A).

Categories of individuals covered by the system: Owners of property expropriated by the Cuban Government during the period 1959-1964.

Categories of records in the system: Names of owners and brief descriptions of property used to verify losses claimed for expropriation of property.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The contents of this System of Records are available to the public pursuant to the Freedom of Information Act, 5 U.S.C. 552. For additional routine uses see Appendix AA.

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

Storage: Paper materials stored in file folders.

Retrievability: Indexed by name of individual owner.

Safeguards: Records are maintained in open shelves in an office which is locked during non-office hours.

Retention and disposal: No guidelines have been established, but records are expected to be retained until they have served their purpose and then destroyed.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division National Office. Official maintaining the system—Director, Audit Division, National Office. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Director, Audit Division, National Office.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Director, Audit Division, National Office.

Contesting record procedures: See Access above.

Record source categories: Gaceta Oficial de la Republica de Cuba (Official Gazette of the Republic of Cuba), a public information publication of the Cuban government in which various official actions of the government are recorded.

Treasury/IRS 42.020

System name: Highway Use Tax Audit Program—Treasury/IRS

System location: Internal Revenue Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers owning trucks that are liable for tax.

Categories of records in the system: List of registered trucks and truck owners.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7602, 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: magnetic tape and computer printout.

Retrievability: By taxpayer's name, social security number, and employer's identification number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: retained until tax year examined is completed and then shredded.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division. Officials maintaining the system—Service Center Directors (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Service Center where individual has filed tax returns.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of Service Center where individual has filed tax returns. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: R.L. Polk Company, Detroit Mich.

Treasury/IRS 42.028

System name: Identity of Taxpayers Using ADP Accounting Records and the Evaluation Thereof—Treasury/IRS.

System location: Regional and District Offices; National Office, Audit Division, Washington, D.C. (See IRS Appendix A.)

Categories of individuals covered by the system: Any taxpayer who uses a computer to process accounting records and taxpayers for which an ADP record retention evaluation has been made.

Categories of records in the system: Name of taxpayer and a description of the types of machine-sensible records the taxpayer has agreed to retain, the retention period and any other related provisions relating to these records. (These records usually pertain to corporations.)

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation and in connection with request for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper.

Retrievability: By Taxpayer's Name.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Identification Retention: Information is periodically updated.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division, National Office. Officials maintaining the system—Jurisdictional District Directors (place of taxpayers residence). (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the System of Records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director that made the evaluation or the taxpayers current jurisdiction (place of residence) District Director.

Record access procedures: Individuals seeking access to any record contained in the System of Records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director that made the evaluation or the taxpayers current jurisdiction (place of residence) District Director.

Contesting record procedures: See Access above.

Record source categories: Examining Officers; commercial listing of ADP users; The evaluator and taxpayer during an ADP record retention evaluation.

Treasury/IRS 42.014

System name: Internal Revenue Service employees' returns Control Files—Treasury/IRS.

System location: District Office where individual is employed. (See IRS Appendix A).

Categories of individuals covered by the system: Any individual who is employed by the Internal Revenue Service.

Categories of records in the system: Alphabetic listing of employee, income tax return information including prior audit results and other tax related information.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7602, 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: paper documents.

Retrievability: employee's name and social security number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: updated periodically and retained as long as individual is employed.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division. Officials maintaining the system—Director of District or office where individual is employed. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested.

Contesting record procedures: See Access above.

Record source categories: Employee's tax return.

Treasury/IRS 42.017

System name: International Enforcement Program Files—Treasury/IRS.

System location: Jurisdictional District Office where individual resides. (See IRS Appendix A).

Categories of individuals covered by the system: Any individual having substantial foreign business activities.

Categories of records in the system: Listing of individual, summary of income expenses, financial information as to foreign operations, acquisition of foreign stock, controlling interest of a foreign corporation, organization or reorganization of foreign corporation, etc.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential

criminal prosecution or civil litigation, and in connection with requests for legal advice; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7602, 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: paper documents, micro-film, magnetic tape.

Retrievability: Individual's name and social security number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Indefinite period of retention.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division. Officials maintaining the system—Director of jurisdictional District (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched. This system may contain some records which are exempt from the notification provisions of the Privacy Act. Requesters will not be advised of the existence of records exempt from the notification provisions.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested. This system may contain some records which are exempt from the Access and Contest provisions of the Privacy Act. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: (1) European treaty countries, (2) individual's tax returns, (3) Examination of related taxpayers, (4) Public sources of information.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 42.018

System name: Married Taxpayers Filing Separately File—Treasury/IRS.

System location: Jurisdictional Service Center.

Categories of individuals covered by the system: Married individuals who file separate income tax returns.

Categories of records in the system: Listing identifying each married individual filing separately.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7602, 7801 and 7802. Disclosure may be made during judicial processes.

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

Storage: Computer printout and magnetic tape.

Retrievability: By taxpayer's name and social security number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Disposal of after returns are matched.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division; Officials maintaining the system—Service Center Directors.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Service Center where the individual filed tax returns.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Service Center Director for each Service Center whose records are to be accessed or contested.

Record source categories: Information obtained from taxpayer's return.

Treasury/IRS 42.015

System name: Open and Closed Narcotics Traffickers Files—Treasury/IRS.

System location: Maintained in jurisdictional District Office where taxpayer resides. (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayer suspected of being involved as a middle or upper echelon narcotics trafficker and whose return has been or will be examined.

Categories of records in the system: Prior audit results, tax related information indicating a possible need for audit action.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7602, 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: paper documents.

Retrievability: by taxpayer's name and social security number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Indefinite period of retention.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division; Officials maintaining the system—Director of jurisdictional district. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System is proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 42.013

System name: Project Files for the Uniform Application of laws as a result of technical determinations and court decisions. Treasury/IRS.

System location: Jurisdictional district office where taxpayer resides. (See IRS Appendix A).

Categories of individuals covered by the system: Individuals grouped as to project, i.e., individual shareholders of a corporation where a determination having a tax effect has been made.

Categories of records in the system: Listing of individuals and their income tax information.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7602, 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: paper documents.

Retrievability: by taxpayer's name and social security number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: retained until project is completed.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division; Officials maintaining the system—Director of jurisdictional District. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested.

Contesting record procedures: See Access above.

Record source categories: (1) Shareholder records. (2) Individual's tax return. (3) Examination of related taxpayer.

Treasury/IRS 42.023

System name: Request and Submittal File for Technical Advice, Assistance, Determination or Coordination—Treasury/IRS.

System location: Jurisdictional District Office where individual resides. (See IRS Appendix A).

Categories of individuals covered by the system: Individual whose return contains questioned or unprecedented technical areas.

Categories of records in the system: Narrative fully explaining or interpreting the technical area in question.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7602, 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: paper documents.

Retrievability: taxpayer's name and social security number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Indefinite period of retention.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division. Officials maintaining the system—Director of jurisdictional District. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested.

Contesting record procedures: See Access above.

Record source categories: (1) Revenue agent who examined taxpayer's return. (2) Taxpayer who is not being examined or is initiating a request while under examination. (3) Taxpayer's representative.

Treasury/IRS 42.019

System name: Runaway Parents List—Treasury/IRS.

System location: Internal Revenue Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Parents who have deserted families on public assistance.

Categories of records in the system: Identity and financial support information.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; to Health, Education and Welfare to administer the Runaway Parent Act; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7602, 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: magnetic tape and computer printout.

Retrievability: by name and social security number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: retained until tax year examined is completed and then shredded.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division. Officials maintaining the system—Service Center Directors. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Service Center whose records are to be searched.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Service Center Director for each Service Center whose records are to be accessed or contested. This system may

contain some records which are exempt from the Access and Contest provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Information obtained from state governments.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 42.009

System name: Strike Force—Treasury/IRS.

System location: Jurisdictional District Office where taxpayer resides. (See IRS Appendix A).

Categories of individuals covered by the system: Files on subject under examination, potential subjects and related taxpayers.

Categories of records in the system: Audit records of current and prior examinations of individuals suspected of being involved in illegal activity such as organized crime, information from other sources and agencies and other investigative material.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7602, 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: paper documents.

Retrievability: by taxpayer's name and social security numbers.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Indefinite period of retention.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division. Officials maintaining the system—District Directors. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records is exempt under the Privacy Act and may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 42.003

System name: System for Controlling Returns in Inventory and Production Data (SCRIP)—Treasury/IRS.

System location: This system is composed of files located as follows: "A" Register Microfilm: Each jurisdictional District Office (taxpayer's place of residence); each jurisdictional IRS Service Center (where taxpayer's tax return was filed); Examination Record Form 1247 (including temporary and interim processing files for management and control purposes); Each jurisdictional District (taxpayer's place of residence) Office; each jurisdictional IRS Service Center. (Where taxpayer's tax return was filed). (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers whose tax returns are or have been under the jurisdiction of the Audit Division; Examining Officer.

Categories of records in the system: Tax return information from the Master File, prior Audit history from the master file, tax return

status and location changes; Audit closing information on examined and nonexamined tax returns; Examining Officer name and related internal management information.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: "A" Register Microfilm. Microfilm Examination Record Forms 1247 (including temporary and interim processing files for management and control purposes). Paper.

Retrievability: "A" Register Microfilm. By taxpayer's name. Examination Forms 1247 (including temporary and interim processing files for management and control purposes). By taxpayer's name.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: "A" Register Microfilm: 6 years or earlier. Forms 1247 (including temporary and interim processing files for management and control purposes): 6 years or earlier.

System manager(s) and address: Official Prescribing Policies and Practice: Director, Audit Division National Office; Official maintaining the System: "A" Register Microfilm: Each jurisdictional District Director (taxpayer's place of residence); each jurisdictional IRS Service Center Director (where taxpayer's tax return was filed); Examination Record Forms 1247: (including temporary and interim processing files for management and control purposes); Each jurisdictional District Director (taxpayer's place of residence); each jurisdictional IRS Service Center Director (where taxpayer's tax return was filed). (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 42.012

System name: Tax Shelter Program Files—Treasury/IRS.

System location: National, Regional, and jurisdictional District offices (not necessarily carried out in every district). (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayers that may be abusing the tax laws through the use of tax shelters.

Categories of records in the system: Tax information relating to the tax shelter for use in determining abuses of tax laws.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7602, 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws; or to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7602, 7801 and 7802. Disclosure

may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: paper documents.

Retrievability: taxpayer's name and social security number.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: retained until individual projects are completed.

System manager(s) and address: Official prescribing policies and practices—Director, Audit Division. Officials maintaining the system—Director of jurisdictional District. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched.

This system may contain some records which are exempt from the notification provisions of the Privacy Act. Requesters will not be advised of the existence of records exempt from the notification provisions.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested. This system may contain some records which are exempt from the Access and Contest provisions of the Privacy Act. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: (1) Individual's tax return. (2) Related taxpayer's.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 44.003

System name: Appellate Division Case Data Source Document, Form 3564—Treasury/IRS.

System location: Director, Appellate Division, National Office; Appellate branch office. (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayers.

Categories of records in the system: Provides case and work unit control data and printouts.

Authority for maintenance of the system: 26 U.S.C. 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper, magnetic tape.

Retrievability: By taxpayer's name.

Safeguards: IRS personnel on need to know basis.

Retention and disposal: Generally, six years after case is closed but earlier if no longer needed.

System manager(s) and address: Director, Appellate Division, National Office; Assistant Regional Commissioners (Appellate). (See IRS Appendix A.)

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Record clerks and Appellate Conferees.

Treasury/IRS 44.001

System name: Appellate Case Files—Treasury/IRS.

System location: Director, Appellate Division, National Office; Assistant Regional Commissioners (Appellate). (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayers.

Categories of records in the system: Tax returns, Revenue Agents' Reports, case correspondence, legal opinions and Appellate closing actions.

Authority for maintenance of the system: 26 U.S.C. 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper, file cabinets.

Retrievability: Name of taxpayer.

Safeguards: Locked file cabinets, locked doors, need to know.

Retention and disposal: Some retained until action on assignment is completed. Some six-year retention period on closed case file unless needed for reference, or when determined no longer needed, whichever is earlier. Disposal by shredding.

System manager(s) and address: Director, Appellate Division, National Office; Assistant Regional Commissioners (Appellate). (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to the individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 44.002

System name: Appellate Conferee Inventory and Unit Time Report, Form 2568—Treasury/IRS.

System location: Appellate branch office. (See IRS Appendix A.)

Categories of individuals covered by the system: Appellate Conferee.

Categories of records in the system: Records time spent on assignments and determines cumulative time on open and closed work units.

Authority for maintenance of the system: 26 U.S.C. 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper.

Retrievability: By conferee name.

Safeguards: IRS personnel on need to know basis.

Retention and disposal: Dispose after 2 years.

System manager(s) and address: Chief, Appellate Office (see IRS Appendix A.)

Notification procedure: See System Manager above.

Record access procedures: See System Manager above.

Contesting record procedures: See System Manager above.

Record source categories: Appellate Conferees.

Treasury/IRS 46.001

System name: Alphabetical Name File and Index, Intelligence Division—Treasury/IRS.

System location: National Office, District Offices, Regional Offices, Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system: (a) informants; (b) subjects of information items; (c) subjects of intelligence investigations; (d) subjects of special interest to the Justice Department; (e) racketeers and associates; (f) subjects of field queries; and (g) foreign bank account holders.

Categories of records in the system: Index cards and folders containing identifying details; Letters; Memoranda.

Authority for maintenance of the system: 5 USC 301; 26 USC 7602; 26 USC 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information contained in this system of records may be disclosed to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Disclosure may be made to other agencies to the extent provided by law or regulation (including 26 USC 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Information may be disclosed to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made to other parties when necessary in the administration and enforcement of law as authorized by 26 USC 7801 and 7802.

Disclosure may be made during judicial processes.

For additional routine uses see Appendix AA.

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

Storage: Paper, file cabinets.

Retrievability: By name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook," IRM 116141.

Retention and disposal: As per Record Control Schedules Numbers 5 and 207.

System manager(s) and address: Official prescribing policies and practices—Director, Intelligence Division—National Office. Officials maintaining the system—Regional Commissioners, District Directors, Service Center Directors. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 46.002

System name: Case Management and Time Reporting System, Intelligence Division—Treasury/IRS.

System location: National, Regional, and District Offices, Data Center. (See IRS Appendix A.)

Categories of individuals covered by the system: Subjects of Intelligence Division Investigations, Special Agents, and U.S. District Court Judges.

Categories of records in the system: Personal and financial information developed in open and closed criminal tax investigations, including schedules, listings, memorandums, reports, news articles, inventory controls, income tax returns, assessment records, summaries of case activities, time reports, collateral investigation reports and workpapers, court actions, analyses of sentencing practices, and related materials.

Authority for maintenance of the system: 5 USC 301; 26 USC 7602; 26 USC 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information contained in this system of records may be disclosed to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Disclosure may be made to other agencies to the extent provided by law or regulation (including 26 USC 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Information may be disclosed to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made to other parties when necessary in the administration and enforcement of law as authorized by 26 USC 7801 and 7802.

Disclosure may be made during judicial processes.

For additional routine uses see Appendix AA.

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

Storage: Paper records in binders; Magnetic tape; Computer printouts.

Retrievability: Name and Case Number.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook," IRM 11641.

Retention and disposal: Not established.

System manager(s) and address: Official prescribing policies and practices—Director, Intelligence Division—National Office. Officials maintaining the system—Regional Commissioners; District Directors; Director, Intelligence Division; Director, Data Center. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 46.003

System name: Confidential Informants, Intelligence Division—Treasury/IRS.

System location: District Offices, National Office. (See IRS Appendix A.)

Categories of individuals covered by the system: Confidential Informants; Subjects of Confidential Informant's Reports.

Categories of records in the system: Memorandums, Index Cards, Related Data.

Authority for maintenance of the system: 5 USC 301; 26 USC 7602; 26 USC 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information contained in this system of records may be disclosed to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Disclosure may be made to other agencies to the extent provided by law or regulation (including 26 USC 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Information may be disclosed to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made to other parties when necessary in the administration and enforcement of law as authorized by 26 USC 7801 and 7802.

Disclosure may be made during judicial processes.

For additional routine uses see Appendix AA.

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

Storage: Paper.

Retrievability: Name or number.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook," IRM 11641.

Retention and disposal: Not established.

System manager(s) and address: Official prescribing policies and practices—Director, Intelligence Division—National Office. Officials maintaining the system—District Directors. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 46.004

System name: Controlled Accounts—Open and Closed, Intelligence Division TC 910/TC 914—Treasury/IRS.

System location: Service Centers, Computer Center, District Offices. (See IRS Appendix A.)

Categories of individuals covered by the system: Subjects and potential subjects of criminal tax investigation.

Categories of records in the system: Intelligence Information and Control Notices; Lists of names and related data; Lists of action taken; Transcripts of account.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Disclosure may be made during judicial processes.

For additional routine uses see Appendix AA.

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

Storage: Magnetic tape and paper.

Retrievability: By name or Social Security Number.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook," IRM 11641.

Retention and disposal: Paper destroyed after 1 year. Magnetic tape erased after 3 months.

System manager(s) and address: Official prescribing policies and practices—Director, Intelligence Division—National Office. Officials maintaining the system—District Directors, Service Center Directors, Computer Center Director. (See IRS Appendix A.)

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched. (See IRS Appendix A.)

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched. (See IRS Appendix A.)

Contesting record procedures: See Access above.

Record source categories: District Office Personnel; Service Center Personnel.

Treasury/IRS 46.005

System name: Electronic Surveillance File, Intelligence Division—Treasury/IRS.

System location: National Office (see IRS Appendix A).

Categories of individuals covered by the system: Subjects of electronic surveillance. Individuals who have been subjects of queries by other agencies.

Categories of records in the system: Information relating to conduct of electronic surveillance.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802.

Disclosure may be made during judicial processes.

For additional routine uses see Appendix AA.

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

Storage: Paper.

Retrievability: Names, addresses, and telephone numbers.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook," IRM 1(16)41.

Retention and disposal: Permanent; None authorized.

System manager(s) and address: Official prescribing policies and practices—Director, Intelligence Division—National Office. Officials maintaining the system—Director, Intelligence Division. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 46.008

System name: Treasury/IRS Intelligence Division, Information and Correspondence Files, Intelligence Division—Treasury/IRS.

System location: National Office, District Offices, Regional Offices, Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system: Subjects of correspondence which has been referred to or processed by the Intelligence Division. Other individuals of interest to, or who have had contact with, the Intelligence Division. Individuals potentially dangerous to Service personnel. Service personnel who have been threatened or who have provided armed escort.

Categories of records in the system: Correspondence to and from other agencies and individuals. Reports; Identifying data; Fiduciary reports.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26

CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802.

Disclosure may be made during judicial processes.

For additional routine uses see Appendix AA.

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

Storage: Paper, magnetic tape, and microfilm.

Retrievability: By name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook," IRM 1(16)41.

Retention and disposal: Not established.

System manager(s) and address: Official prescribing policies and practices—District Directors, Service Center Directors, Regional Commissioners. Officials maintaining the system—Same. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 46.006

System name: Information Gathering and Retrieval System, Intelligence Division—Treasury/IRS.

System location: District Offices, Data Center. (See IRS Appendix A.)

Categories of individuals covered by the system: Potential subjects of criminal tax investigations; Associates of subjects.

Categories of records in the system: Financial records, newspaper articles, reports from other agencies, and similar leads, and photographs.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802.

Disclosure may be made during judicial processes.

For additional routine uses see Appendix AA.

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

Storage: Paper, microfilm, magnetic tape.

Retrievability: By name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook," IRM 1(16)41.

Retention and disposal: Discontinued January 22, 1975. Destruction when authorized.

System manager(s) and address: Official prescribing policies and practices—Director, Intelligence Division—National Office. Officials maintaining the system—District Directors, Director, Data Center. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 46.007

System name: Information Indexing System, Intelligence Division—Treasury/IRS.

System location: District Offices, Data Center, and Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system: Potential subjects of criminal tax investigations.

Categories of records in the system: Financial records, newspaper articles, reports from other agencies, and similar leads.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802.

Disclosure may be made during judicial processes.

For additional routine uses see Appendix AA.

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

Storage: Paper, magnetic tape, and microfilm.

Retrievability: Name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook," IRM 1(16)41.

Retention and disposal: Paper shredded after use. Magnetic Tape—erased after 3 years.

System manager(s) and address: Official prescribing policies and practices—Director, Intelligence Division—National Office. Officials maintaining the system—District Directors, Service Center Directors, Data Center Director. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 46.009

System name: Information Items, Intelligence Division—Treasury/IRS.

System location: District Offices and Service Centers. (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayers about whom the Internal Revenue Service has received information alleging a violation of laws within IRS jurisdiction.

Categories of records in the system: Copies of income tax returns, special agent's reports, revenue agent's reports, reports from police and other investigative agencies, memorandum of interview, question-and-answer statements, affidavits, collateral request and replies, information items, newspaper and magazine articles and other published data, financial information from public records, case initiating documents and other similar and related documents.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes.

For additional routine uses see Appendix AA.

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

Storage: Tape, paper, and microfilm.

Retrievability: Name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook," IRM 1(16)41.

Retention and disposal: Paper—shredded after use. Microfilm—destroyed after 5 years. Magnetic tape—erased after 3 years.

System manager(s) and address: Official prescribing policies and practices—Director, Intelligence Division—National Office. Officials maintaining the system—Service Center Directors, District Directors. (See IRS Appendix A.)

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 46.010

System name: Joint Compliance Program, Intelligence Division—Treasury/IRS.

System location: District Offices; Service Centers; Regional Offices; National Office. (See IRS Appendix A.)

Categories of individuals covered by the system: Taxpayers in general.

Categories of records in the system: Tax returns, public records, lists of names, occupational listings, newspaper articles, trade journals, correspondence from other agencies and the public, and other similar and related data.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the

Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper, magnetic tape, microfilm.

Retrievability: Name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook", IRM 1(16)41.

Retention and disposal: Not established.

System manager(s) and address: Official prescribing policies and practices—Director, Intelligence Division—National Office. Officials maintaining the system—District Directors; Service Center Directors; Regional Commissioners; Director, Intelligence Division. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 46.011

System name: Land Trust Files, Intelligence Division—Treasury/IRS.

System location: District Offices, Service Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Beneficiaries of Land Trusts, Related individuals.

Categories of records in the system: Notices of Fiduciary Relationships, Related correspondence.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602, 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper, microfilm, magnetic tape.

Retrievability: Name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook", IRM 1(16)41.

Retention and disposal: Not established.

System manager(s) and address: Official prescribing policies and practices—Director, Intelligence Division—National Office. Officials maintaining the system—District Directors, Service Center Directors. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to District Director for each District whose records are to be searched and Director, Intelligence Division, National Office. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to District Director for each District whose records are to be searched and Director, Intelligence Division, National Office. (See IRS Appendix A).

Contesting record procedures: See Access above.

Record source categories: Financial institutions, Fiduciary reports, Notices of Fiduciary Relationships.

Treasury/IRS 46.012

System name: National Register, Intelligence Division—Treasury/IRS.

System location: National Office, Data Center. (See IRS Appendix A).

Categories of individuals covered by the system: Subjects of open investigations and potential Special Enforcement Program subjects.

Categories of records in the system: Identifying details of subjects.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine disclosures may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper and magnetic tape.

Retrievability: By name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook", IRM 1(16)41.

Retention and disposal: This system was discontinued May 1, 1975. Destruction when authorized.

System manager(s) and address: Official prescribing policies and practices—Director, Intelligence Division—National Office. Officials maintaining the system—Director, Intelligence Division; Director, Data Center. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 46.013

System name: Project Files, Intelligence Division—Treasury/IRS.

System location: National, Regional and District Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Potential subjects of criminal tax investigations.

Categories of records in the system: Tax returns, master file data, Court records, Congressional reports, reports from other agencies, reports from Special Prosecutor, project reports, statistical data, other personal and financial information.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper, magnetic tape, microfilm.

Retrievability: Name and Social Security Number.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook", IRM 1(16)41.

Retention and disposal: Not established.

System manager(s) and address: Official prescribing policies and practices—Director, Intelligence Division—National Office. Officials maintaining the system—Regional Commissioners; District Directors; and Director, Intelligence Division. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 46.014

System name: Project Personnel, Intelligence Division—Treasury/IRS.

System location: National Office. (See IRS Appendix A).

Categories of individuals covered by the system: Special Agents.

Categories of records in the system: Financial, documentary, memorandums and reports.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper, file cabinet.

Retrievability: By name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook", IRM 1(16)41.

Retention and disposal: Indefinite retention.

System manager(s) and address: Official prescribing policies and practices, Director, Intelligence Division, National Office. Officials maintaining the system, Director, Intelligence Division, National Office. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system of records is proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 46.015

System name: Relocated Witnesses, Intelligence Division—Treasury/IRS.

System location: National Office. (See IRS Appendix A).

Categories of individuals covered by the system: Relocated Witnesses.

Categories of records in the system: Documentation & Relocation Information.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosures may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper, file cabinet.

Retrievability: By Name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook", IRM 1(16)41.

Retention and disposal: Indefinite retention.

System manager(s) and address: Official prescribing policies and practices, Director, Intelligence Division, National Office. Officials maintaining the system, Director, Intelligence Division, National Office. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system of records is proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 46.016

System name: Secret Service Details, Intelligence Division—Treasury/IRS.

System location: District Offices, Service Centers, Regional Offices, National Office. (See IRS Appendix A).

Categories of individuals covered by the system: Special Agents.

Categories of records in the system: Lists of names, and Correspondence.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper, file cabinet.

Retrievability: Name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook", IRM 1(16)41.

Retention and disposal: Not established.

System manager(s) and address: Official prescribing policies and practices, Director, Intelligence Division, National Office, Officials maintaining the system, District Directors, Service Center Directors, Regional Commissioners, Director, Intelligence Division. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system of records is proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 46.017

System name: Special Agent Skills Inventory, Intelligence Division—Treasury/IRS.

System location: National Office. (See IRS Appendix A).

Categories of individuals covered by the system: Present and former Special Agents.

Categories of records in the system: Personal History, Skills, and Training.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper, file cabinet.

Retrievability: Name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook", IRM 1(16)41.

Retention and disposal: Indefinite. No disposal provisions.

System manager(s) and address: Official prescribing policies and practices, Director, Intelligence Division, National Office, Officials maintaining the system, District Directors, Director, Intelligence Division. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to District Director for each District whose records are to be searched and Director, Intelligence Division, National Office.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to District Director for each District whose records are to be searched and Director, Intelligence Division, National Office.

Contesting record procedures: See Access above.

Record source categories: Special Agents.

Treasury/IRS 46.018

System name: Strike Force Disclosure Authorization List, Intelligence Division—Treasury/IRS.

System location: National Office, and District Offices.

Categories of individuals covered by the system: Names of all entities for which disclosure of information to the Department of Justice has been authorized.

Categories of records in the system: Alphabetical list of names, Memorandums from Justice Dept. and Disclosure Staff.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses, see Appendix AA.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook", IRM 1(16)41.

Retention and disposal: Memorandums, permanent. Lists, destroyed after 2 years.

System manager(s) and address: Official prescribing policies and practices, Director, Intelligence Division, National Office. Officials maintaining the system, District Directors, Director, Intelligence Division.

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Treasury/IRS 46.019

System name: Tax Practitioner Files, Intelligence Division—Treasury/IRS.

System location: District Offices, and Service Centers.

Categories of individuals covered by the system: Tax Practitioners, return preparers, and attorneys. Related taxpayers.

Categories of records in the system: Letters and miscellaneous types of internal and external correspondence.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses, see Appendix AA.

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

Storage: Paper, file cabinet.

Retrievability: Name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook", IRM 1(16)41.

Retention and disposal: Not established.

System manager(s) and address: Official prescribing policies and practices, Director, Intelligence Division, National Office. Officials maintaining the system, District Directors, and Service Center Directors. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system of records is proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 46.020

System name: Tax Termination File, Intelligence Division—Treasury/IRS.

System location: District Offices, Regional Offices, and Service Centers.

Categories of individuals covered by the system: Taxpayers whose tax years have been terminated.

Categories of records in the system: Income Tax returns, Assessment records, Requests for controls, and Other related documents.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses, see Appendix AA.

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

Storage: Paper, magnetic tape, microfilm.

Retrievability: Name or Social Security Number.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook", IRM 1(16)41.

Retention and disposal: Indefinite.

System manager(s) and address: Official prescribing policies and practices, Director, Intelligence Division, National Office. Officials maintaining the system, District Directors, and Service Center Directors. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system of records is proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 46.021

System name: Training Records, Intelligence Division—Treasury/IRS.

System location: National Office. (See IRS Appendix A).

Categories of individuals covered by the system: Special Agents, and State and local law enforcement personnel.

Categories of records in the system: Names, pictures, personal history, and performance data.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26

U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses, see Appendix AA.

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

Storage: Paper.

Retrievability: By Name.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook", IRM 1(16)41.

Retention and disposal: Performance evaluation burned after 3 years. Other records permanent.

System manager(s) and address: Official prescribing policies and practices, Director, Intelligence Division, National Office. Officials maintaining the system, Director, Intelligence Division, National Office.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Director, Intelligence Division, National Office.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Director, Intelligence Division, National Office.

Record source categories: Students, Instructors, Advisors, Other evaluators.

Treasury/IRS 46.022

System name: Treasury Enforcement Communications System (TECS), Intelligence Division—Treasury/IRS.

System location: National Office.

Categories of individuals covered by the system: Fugitives; Subjects of open Special Enforcement Program investigations; Subjects of open Narcotics Traffickers Program investigations; Subject of interest to Special Enforcement Program.

Categories of records in the system: Name, Date of Birth, Social Security Number, Address, Identifying details.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602; 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine Disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. For additional routine uses see Appendix AA.

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

Storage: Disc.

Retrievability: By name or social security number.

Safeguards: Controls will be not less than provided for by the "Access Physical and Document Security Handbook", IRM 1(16)41.

Retention and disposal: Cancellation after 2 years.

System manager(s) and address: Official prescribing policies and practices, Director, Intelligence Division, National Office. Officials maintaining the system, Director, Intelligence Division, National Office.

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 48.006

System name: Disclosure Staff Control Card System, Compliance—Treasury/IRS.

System location: National Office.

Categories of individuals covered by the system: (1) Individuals identified by correspondence or telephone inquiry from taxpayers, Congressmen, States, IRS National Office, or IRS field offices, on whom or by whom income tax information is requested. (2) Individuals on whom address information is requested.

Categories of records in the system: Correspondence from requesters for tax, address, or other general information received and answered in the Disclosure Staff and by whom.

Authority for maintenance of the system: 26 U.S.C. 7801 and 7802, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: The files (paper records) are maintained in file folders arranged in alphabetical order in locked cabinets.

Retrievability: Records within the system are retrieved through reference to an alphabetical index.

Safeguards: Safeguards will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. The records are maintained in secure premises, open only in the presence of employees of the Disclosure Staff. Security guards are on duty in the building.

Retention and disposal: Records Control Schedule 115, IRM 1(15)59, provides that internal control records be disposed of after six years.

System manager(s) and address: Assistant Commissioner (Compliance), National Office.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: Assistant Commissioner (Compliance), National Office.

Record access procedures: (1) Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: Assistant Commissioner (Compliance), National Office. (2) Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Serves as a central point for locating correspondence of a general nature handled by the Disclosure Staff which is not otherwise processed under any other system of records reported by the Disclosure Staff. For example, this system of records contains requests for address information; inquiries from members of Congress, both on their own behalf and those of their constituents; requests from Governors to inspect out of state tax returns; and requests for general information about the Service's disclosure practices and policies. In most cases, the file contains only the incoming request and reply. On occasion, the file may contain memoranda to further clarify the request or to seek additional information to satisfy the nature of the inquiry. For the most part, information required to respond to these inquiries is obtained from the National Computer Center, showing the latest address on record for the taxpayer, or information may be obtained from field offices concerning the individual tax affairs of the persons making the inquiry or who are of interest to the persons making the

request. This information would include data from the individual's income tax return, that supplemental to it, and that obtained by the Service in its examination or investigation. In some instances, information directly bearing on the request would be obtained from functions within the National Office, such as the Audit Division, to clarify a matter within their jurisdiction.

Treasury/IRS 48.001

System name: Disclosure to Department of Justice, Compliance—Treasury/IRS.

System location: National Office and District Offices. (See IRS Appendix A).

Categories of individuals covered by the system: (1) Individuals alleged or suspected by U.S. Attorneys or by attorneys of the Department of Justice to have violated, or to be connected with violations of, federal laws other than the Internal Revenue Code. Included are individuals who have initiated legal actions against the federal government, or who are connected with such actions. (2) Individuals identified by the Assistant Attorney General, Criminal Division, as being strike force targets, as persons connected with organized crime activities, or under investigation for other purposes by his office. (3) Individuals of interest to the Internal Security Division and the Criminal Division of the Department of Justice who were under investigation for national security reasons. (4) Individuals alleged or suspected by attorneys of the Department of Justice and U.S. Attorneys to have violated or to be connected with violations of the narcotics laws. (This includes requests from the Bureau of Customs prior to the transfer of that agency's narcotics activities to the Department of Justice.) (5) Individuals identified by the Attorney General as being of interest to the Watergate Special Prosecution Force, or individuals whose tax matters have been referred by the Service to that office for investigation. (6) Individuals alleged by the Internal Revenue Service to have violated, or to be connected with violations of, federal laws other than the Internal Revenue Code. (7) Individuals alleged or suspected by attorneys of the Department of Justice to have violated, or to be connected with violations of, laws administered by the Department of Housing and Urban Development (FHA).

Categories of records in the system: (1) Requests for inspection of tax information received from any of the above components of the Department of Justice, and IRS replies to such requests. (2) Copies of related authorizations to IRS officials permitting such disclosures and, in some instances, their responses. (3) Copies of individuals' tax information, memoranda for file, notations of telephone calls, file search requests, etc.

Authority for maintenance of the system: 26 U.S.C. 7801 and 7802, 26 U.S.C. 6103, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. For additional routine uses see Appendix AA.

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

Storage: The files (paper records) are maintained in chronological order in folders in cabinets.

Retrievability: Records within the system are retrieved through reference to an alphabetical index.

Safeguards: Safeguards will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. The records are maintained in secure premises, open only in the presence of employees of the Disclosure Staff. Security guards are on duty in the building.

Retention and disposal: Records Control Schedule 115, IRM 1(15)59, provides that routine requests be disposed of after seven years. Records of historical significance are retained.

System manager(s) and address: Assistant Commissioner (Compliance), National Office, District Directors. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 48.002

System name: Disclosure to Executive Departments and Congressional Committees, Compliance—Treasury/IRS.

System location: National Office and District Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Individuals who are under investigation or of interest to an Executive Department (other than the Department of Justice or U.S. Attorneys) and Congressional Committees, and for whom tax information has been requested under 26 U.S.C. 6103 and regulations issued pursuant thereto.

Categories of records in the system: (1) Requests for inspection of tax information and replies to such requests. (2) Copies of related authorizations to IRS officials permitting such disclosures and, in some instances, their responses. (3) Copies of individuals' tax information, internal memoranda, file search requests, etc.

Authority for maintenance of the system: 26 U.S.C. 7801 and 7802, 26 U.S.C. 6103, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. For additional routine uses see Appendix AA.

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

Storage: The files (paper records) are maintained in chronological order in folders in cabinets.

Retrievability: Records within the system are retrieved through reference to an alphabetical index.

Safeguards: Safeguards will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Records are maintained in secure premises, open only in the presence of employees of the Disclosure Staff. Security guards are on duty in the building.

Retention and disposal: Records Control Schedule 115, IRM 1(15)59, provides that routine requests be disposed of after seven years. Records of historical significance are retained.

System manager(s) and address: Assistant Commissioner (Compliance), National Office, District Directors.

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 48.005

System name: File of Freedom of Information Act Correspondence, Compliance—Treasury/IRS.

System location: National Office and District Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Requesters for access to records pursuant to the Freedom of Information Act, 5 U.S.C. 552, to the extent covered information may be contained in such requests, may be contained in the records requested, or may be incidental to the processing of the request.

Categories of records in the system: Correspondence Controls, Correspondence from requesters for access to records pursuant to the Freedom of Information Act, 5 U.S.C. 552, and responses to such correspondence. Copies of records requested by such correspondence. Internal memoranda pertaining to the processing of such requests. Copies of some records pertaining to subsequent appeals and suits involving such requests.

Authority for maintenance of the system: 26 U.S.C. 7801 and 7802, 5 U.S.C. 301, 5 U.S.C. 552.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: The files consist of paper copies, manually maintained in case number sequence, in cabinets.

Retrievability: Records are retrievable by an alphabetical index filed by name of requester.

Safeguards: Safeguards will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Records are maintained in secure premises, open only in the presence of employees of the Disclosure Staff. Security guards are on duty in the building.

Retention and disposal: Records Control Schedule 115, IRM 1(15)59, provides that records pertaining to routine requests under the Freedom of Information Act be disposed after six years. Records of historical significance are retained.

System manager(s) and address: Assistant Commissioner (Compliance), National Office, District Directors. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: Assistant Commissioner (Compliance), National Office, District Directors. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: Assistant Commissioner (Compliance), National Office, District Directors. (See IRS Appendix A).

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: The system may duplicate all or portions of any Internal Revenue Service record to which a person may have requested access; the requester himself is therefore the determinant of the sources of the records contained.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 48.004

System name: Pre-Employment Tax Check for Executive Departments, Compliance—Treasury/IRS.

System location: National Office and District Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Persons who have applied for employment on the White House Staff, with offices of Treasury (other than IRS), with the Department of Justice, the State Department, the Export Import Bank, or the Department of Agriculture. Persons being considered for Presidential appointment, for appointment to the National Security Council, or for appointment

to an IRS Advisory Panel. Persons connected with applicants for "E" Awards, which are awarded by the Department of Commerce. For additional routine uses see Appendix AA.

Categories of records in the system: Employment applications, Records of tax filing status, payment status, civil and criminal investigation status.

Authority for maintenance of the system: 26 U.S.C. 7801 and 7802, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To executive departments requesting the tax check as specified in the Sources Section, Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: The files (paper records) are maintained in file folders arranged in alphabetical order in locked cabinets.

Retrievability: Records within the system are retrieved through reference to an alphabetical index.

Safeguards: Safeguards will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. The records are maintained in secure premises, open only in the presence of employees of the Disclosure Staff. Security guards are on duty in the building.

Retention and disposal: Records Control Schedule 115, IRM 1(15)59, provides that routine tax check cases be disposed of after seven years. Those cases which have historical significance are retained.

System manager(s) and address: Assistant Commissioner (Compliance), National Office, District Directors. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: Assistant Commissioner (Compliance), National Office, District Directors. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to: Assistant Commissioner (Compliance), National Office, District Directors. (See IRS Appendix A).

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Tax check reports will be made only pursuant to a written request signed by a designated individual who is charged by the White House or the head of the requesting agency with the responsibility for making such requests. Generally, the Service receives a copy of the employment application, or like information, and uses it to obtain information from field offices to complete a Type "X" or "E" report. The field reports whether the person under consideration has filed Federal income tax returns for the past three years, whether such individual owes any unpaid taxes and if so for what years, whether such individual has been or is under investigation of possible criminal offenses under the Internal Revenue laws and the result of such investigation, and whether such individual has been assessed any penalty for fraud or negligence. The information is sent to the requesting official in a written narrative report, and is to supplement investigations concerning the character, loyalty, and suitability of such prospective appointees or nominees.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 48.003

System name: Testimony of IRS Employees in Nontax Matters, Compliance—Treasury/IRS.

System location: National Office and District Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Individuals who are parties to criminal or civil nontax litigation.

Categories of records in the system: Contains requests for testimony of IRS employees and/or submission of IRS documents for use in nontax litigation; background information on the relationship of the request to the litigation and Service information concerning litigants; and copies of the approvals or denials for testimony.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. For additional routine uses see Appendix AA.

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

Storage: The files (paper records) are maintained in chronological order in folders in cabinets.

Retrievability: Records within the system are retrieved through reference to an alphabetical index.

Safeguards: Safeguards will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. The records are maintained in secure premises, open only in the presence of employees of the Disclosure Staff. Security guards are on duty in the building.

Retention and disposal: Records Control Schedule 115, IRM 1(15)59, provides that routine testimony cases be disposed of after six years. Those cases which have historical significance are retained.

System manager(s) and address: Assistant Commissioner (Compliance), National Office, District Directors. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 49.001

System name: Collateral and Information Requests System—Treasury/IRS.

System location: The central files for this system are maintained at the Office of International Operations, Room 822, 1325 K Street, N.W., Washington, D.C. 20225. A corresponding system of records is separately maintained by the foreign posts located in: (1) Bonn, Germany; (2) Canberra, Australia; (3) Caracas, Venezuela; (4) Johannesburg, Republic of South Africa; (5) Kuala Lumpur, Malaysia; (6) London, England; (7) Manila, Philippines; (8) Mexico City, Mexico; (9) Ottawa, Canada; (10) Paris, France; (11) Rome, Italy; (12) Sao Paulo, Brazil; (13) Tehran, Iran; and (14) Tokyo, Japan. Inquiries concerning this system of records maintained by the foreign posts should be addressed to the Director of International Operations.

Categories of individuals covered by the system: United States Citizens, Resident Aliens, Nonresident Aliens.

Categories of records in the system: Record of interviewing witnesses regarding financial transactions of taxpayers; employment data; bank and brokerage house records; probate records; property valuations; public documents; payments of foreign taxes; inventories of assets; business books and records.

Authority for maintenance of the system: 5 USC 301, 26 USC 7602, 26 USC 7801, 26 USC 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records.

Retrievability: By Taxpayer Name.

Safeguards: Access Controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose after 5 years.

System manager(s) and address: Director of International Operations.

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 49.002

System name: Collateral Files and Competent Authority Requests—Treasury/IRS.

System location: Office of International Operations, Room 800, 1325 K Street, N.W., Washington, D.C. 20225.

Categories of individuals covered by the system: U.S. citizens, resident aliens, nonresident aliens.

Categories of records in the system: These records relate to tax fraud investigations conducted by the U.S. Internal Revenue Service where some aspects of an investigation must be pursued in foreign countries pursuant to the various tax treaties between the United States and foreign governments.

Authority for maintenance of the system: 5 USC 301, 26 USC 7602, 26 USC 7801, 26 USC 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation and in connection with requests for legal advice.

Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made, as provided by treaty, to the foreign government (Competent Authority) having jurisdiction over the situs of the foreign aspects of a U.S. tax-fraud investigation.

Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: By taxpayer name.

Safeguards: Access controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose three years after the collateral request has been closed.

System manager(s) and address: Director, Office of International Operations, Room 800, 1325 K Street, N.W., Washington, D.C. 20225.

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of the records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law-enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system is proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 49.003

System name: Financial Statements File—Treasury/IRS.

System location: Office of International Operations, 1325 K Street, N.W., Washington, D.C. 20225, Room 930.

Categories of individuals covered by the system: Taxpayers who submitted financial statements when interviewed overseas by audit division employees.

Categories of records in the system: Financial Statements.

Authority for maintenance of the system: 5 USC 301, 26 USC 7602, 26 USC 7801, 26 USC 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records.

Retrievability: By Taxpayer's name.

Safeguards: Access Controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose after 2 years.

System manager(s) and address: Director of International Operations.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries may be addressed to the Director of International Operations, Room 1220, 1325 K St., N.W., Washington, D.C. 20225.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of International Operations.

Contesting record procedures: See Access above.

Record source categories: Overseas audit division employees.

Treasury/IRS 49.004

System name: Foreign Stock Ownership File—Treasury/IRS.

System location: Office of International Operations, 1325 K Street, N.W., Washington, D.C. 20225, Room 1330.

Categories of individuals covered by the system: United States Citizens, Resident Aliens.

Categories of records in the system: Computer Printout of Individuals Filing Forms 959.

Authority for maintenance of the system: 5 USC 301, 26 USC 7602, 26 USC 7801, 26 USC 7802.

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

formation contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Computer Printout.

Retrievability: By Taxpayer Name.

Safeguards: Access Controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose after 1 year.

System manager(s) and address: Director of International Operations.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of International Operations, Room 1220, 1325 K St., N.W., Washington, D.C. 20225.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of International Operations. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Computer Printouts of Form 959 Returns.

Treasury/IRS 49.005

System name: Index Card Retrieval System—Treasury/IRS.

System location: Office of International Operations, Tax Treaty and Technical Services Division (Room 830), 1325 "K" St., N.W., Washington, D.C. 20225.

Categories of individuals covered by the system: U.S. Citizens, Resident Aliens, and Nonresident Aliens whose tax returns come under the jurisdiction of the U.S. Competent Authority in accordance with pertinent provisions of tax treaties with foreign countries.

Categories of records in the system: Individual case files of taxpayers; (1) who request relief from double taxation or any other assistance that is pertinent to carrying out the provisions of income tax treaties, and (2) on whom information (as is pertinent to carrying out the provisions of the convention or preventing fraud or fiscal evasion in relation to the taxes which are the subject of this convention) is exchanged with foreign tax officials of treaty countries.

Authority for maintenance of the system: 5 USC 301, 26 USC 7602, 26 USC 7801, 26 USC 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes.

Routine disclosure may be made to other agencies to the extent provided by law or regulations (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies.

Routine disclosure may be made to Foreign Tax Agencies of treaty countries upon receipt of a specific request in accordance with the exchange of information provisions of tax treaties.

Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws.

Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26

U.S.C. 7801 and 7802. For additional routine uses see Appendix AA.

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

Storage: Paper Records.

Retrievability: By taxpayer's name.

Safeguards: Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose after 10 years.

System manager(s) and address: Director of International Operations.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Director of International Operations, 1325 "K" St., N.W., Washington, D.C. 20225.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Director of International Operations, 1325 "K" St., N.W., Washington, D.C. 20225.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Taxpayer or authorized representative; IRS and other Governmental Agencies; U.S. Revenue Service Representative overseas; Foreign treaty country tax officials; and public periodicals.

Treasury/IRS 49.006

System name: Manual Accounting Index of Uncollectible Accounts—Treasury/IRS.

System location: Office of International Operations, 1325 K Street, N.W., Washington, D.C. 20225, Room 930.

Categories of individuals covered by the system: Accounts which were reported uncollectible prior to the implementation of automatic data processing of account records.

Categories of records in the system: Master file index cards TY 60.

Authority for maintenance of the system: 5 USC 301, 26 USC 7602, 26 USC 7801, 26 USC 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal service. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: By Taxpayer's Name.

Safeguards: Access Controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: To be retained indefinitely.

System manager(s) and address: Director of International Operations.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of International Operations, Room 1220, 1325 K St., N.W., Washington, D.C. 20225.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at

31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of International Operations. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Revenue Accounting Branch, Office of International Operations.

Treasury/IRS 49.007

System name: Overseas Compliance Projects System.

System location: The central files for this system are maintained at the Office of International Operations, Room 822, 1325 K Street, N.W., Washington, D.C., 20225. A corresponding system of records is separately maintained by the foreign posts located in: (1) Bonn, Germany; (2) Canberra, Australia; (3) Caracas, Venezuela; (4) Johannesburg, Republic of South Africa; (5) Kuala Lumpur, Malaysia; (6) London, England; (7) Manila, Philippines; (8) Mexico City, Mexico; (9) Ottawa, Canada; (10) Paris, France; (11) Rome, Italy; (12) Sao Paulo, Brazil; (13) Tehran, Iran; and (14) Tokyo, Japan. Inquiries concerning this system of records maintained by the foreign posts should be addressed to the Director of International Operations.

Categories of individuals covered by the system: United States Citizens, Resident Aliens, Nonresident Aliens.

Categories of records in the system: Documents and factual data relating to: (1) personal expenditures or investments not commensurate with known income and assets; (2) receipt of significant unreported income; (3) improper deduction of significant capital or personal living expenses; (4) failure to file required returns or pay tax due; (5) omission of assets or improper deduction or exclusion of items from estate and gift tax returns.

Authority for maintenance of the system: 5 USC 301, 26 USC 7602, 26 USC 7801, 26 USC 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records.

Retrievability: By Taxpayer Name.

Safeguards: Access Controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose after 5 years.

System manager(s) and address: Director of International Operations.

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See Access above.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: This system proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 49.008

System name: Taxpayer Service Correspondence System—Treasury/IRS.

System location: This system is separately maintained by each one of the 14 overseas posts of the Office of International Opera-

tions, located in: (1) Bonn, Germany; (2) Canberra, Australia; (3) Caracas, Venezuela; (4) Johannesburg, Republic of South Africa; (5) Kuala Lumpur, Malaysia; (6) London, England; (7) Manila, Philippines; (8) Mexico City, Mexico; (9) Ottawa, Canada; (10) Paris, France; (11) Rome, Italy; (12) Sao Paulo, Brazil; (13) Tehran, Iran; and (14) Tokyo, Japan. Inquiries concerning this system of records maintained by the foreign posts should be addressed to the Director of International Operations, Room 1220, 1325 K Street, N.W., Washington, D.C. 20225.

Categories of individuals covered by the system: United States Citizens, Resident Aliens, Nonresident Aliens.

Categories of records in the system: Correspondence from taxpayers, foreign post personnel and Office of International Operations headquarters offices in Washington, D.C.

Authority for maintenance of the system: 5 USC 301, 26 USC 7602, 26 USC 7801, 26 USC 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper Records.

Retrievability: By Taxpayer Name.

Safeguards: Access Controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose after 5 years.

System manager(s) and address: Director of International Operations.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of International Operations, Room 1220, 1325 K Street, N.W., Washington, D.C. 20225.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of International Operations. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Taxpayers and Office of International Operations' foreign posts and headquarters offices.

Treasury/IRS 50.002

System name: Employee Plans/Exempt Organizations, Employee Plan Determination Letter Records—Treasury/IRS.

System location: District Offices. See IRS Appendix A.

Categories of individuals covered by the system: Applicants for approval of individually designed plans and bond purchase plans, covering self-employed individuals.

Categories of records in the system: Contains plan name, type, treatment accorded, etc. Sub-systems include plan files containing applications, attachments, determination letters, related documents, and audit history file.

Authority for maintenance of the system: 26 USC 7801, 7802 and 7805.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation and in connection with requests for legal advice. Disclosure may be made during judicial processes. Routine disclosure may be made to the Department of

Labor and to other agencies to the extent provided by law or regulation, including 26 U.S.C. 6103 and 26 CFR 301.6103, and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 USC 7801 and 7802. For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Indexed by name.

Safeguards: Security will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41; and

Retention and disposal: Cards retained indefinitely; related files destroyed or retired over varying numbers of years as specified in the Records Control Schedule, IRM 1(15)59-110.

System manager(s) and address: District Director who has jurisdiction over the plan. See IRS Appendix A.

Notification procedure: Same as above.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director having jurisdiction. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See access above.

Record source categories: Applicants requesting a determination letter.

Treasury/IRS 50.001

System name: Employee Plans/Exempt Organizations, Employee Plans/Exempt Organizations Assignment Record (Form M-6209)—Treasury/IRS.

System location: National Office See IRS Appendix A.

Categories of individuals covered by the system: Requestors of letter rulings, and subject of field office requests for technical advice and assistance and other correspondence.

Categories of records in the system: Contains the name, date, nature and subject of an assignment, and work history. Sub-systems include case files that contain the correspondence, internal memoranda, and related material. They also include digests of issues involved in proposed revenue rulings.

Authority for maintenance of the system: 26 USC 7801, 7802, and 7805.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation and in connection with requests for legal advice. Disclosure may be made during judicial processes. Routine disclosure may be made to the Department of Labor and to other agencies to the extent provided by law or regulation, including 26 U.S.C. 6103 and 26 CFR 301.6103, and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 USC 7801 and 7802. For additional routine uses see Appendix AA.

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

Storage: paper records.

Retrievability: Indexed by name.

Safeguards: security will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41; and

Retention and disposal: Cards retained indefinitely; related files destroyed or retired over varying numbers of years as specified in the Records Control Schedule, IRM 1(15)59-110.

System manager(s) and address: Assistant Commissioner (Employee Plans/Exempt Organizations) 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Notification procedure: Same as above.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner (EP/EO), National Office. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See above.

Record source categories: Individuals requesting rulings or information and field offices requesting technical advice or assistance.

Treasury/IRS 50.003

System name: Employee Plans/Exempt Organizations, Reports of Significant Matters in EP/EO (M-5945)—Treasury/IRS.

System location: National Office. See IRS Appendix A.

Categories of individuals covered by the system: Individual subjects of letter ruling requests, technical advice requests etc., where a "Report of Significant Matter in EP/EO," has been prepared because of the presence of a matter significant to tax administration.

Categories of records in the system: Copies of "Reports of Significant Matter in EP/EO."

Authority for maintenance of the system: 26 U.S.C. 7801, 7802, and 7805.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: paper records.

Retrievability: indexed by name.

Safeguards: safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: not specific.

System manager(s) and address: Assistant Commissioner, (Employee Plans/Exempt Organizations) 1111 Constitution Avenue, Washington, D.C. 20224.

Notification procedure: Same as above.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner, (Employee Plans/Exempt Organizations), National Office.

Contesting record procedures: See access above.

Record source categories: Individual subjects of letter ruling requests, technical advice requests, etc., where a "Report of Significant Matter in EP/EO," has been prepared.

Treasury/IRS 60.001

System name: Assault and Threat Investigation Files Inspection-Treasury/IRS.

System location: National Office and Regional Inspector's Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Persons who attempt to interfere with the administration of the Internal Revenue laws through threats, assaults or forcible interference of any officer or employee while discharging the official duties of his position.

Categories of records in the system: Document citing the complaint, Documentary evidence (i.e., threatening letter), Report of investigation, with possible statements, or affidavits as exhibits, Report of legal action, if case is prosecuted. Local police record of individual named in case. FBI record of individual named in the case.

Authority for maintenance of the system: 26 U.S.C. 7608, 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential

criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Routine disclosure may be made to authorized investigative offices of other Federal agencies in connection with background and security clearance procedures or when the subject is under investigation for employment or statute violations. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: Paper records, in folders, in file cabinets.

Retrievability: By name of individual to whom it applies.

Safeguards: Not less than provided for by the Physical and Documents Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been cleared by background investigations.

Retention and disposal: Dispose of 25 years after final legal action or date of closing. Retire two years after final legal action or date of closing.

System manager(s) and address: Assistant Commissioner (Inspection). (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See access above.

Record source categories: This system of records contains investigatory material compiled for criminal law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury 60.002

System name: Bribery Investigation Files, Inspection-Treasury/IRS.

System location: National Office and Regional Inspector's Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Employees or former employees of the Treasury Department, and Taxpayers and non-IRS persons whose alleged criminal actions may affect the integrity of the Service.

Categories of records in the system: A report of investigation including exhibits, affidavits, transcripts, and documentation concerning requests and approval for consensual telephone and consensual non-telephone monitoring. A report of legal action concerning the results of prosecution. Prior criminal record of subject.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602, 7608, 7801, 7802; EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Routine disclosure may be made to authorized investigative offices of other Federal agencies in connection with background and security clearance procedures or when the subject is under investigation for employment or statute violations. For additional routine uses see Appendix AA.

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

Storage: Paper records, in folders, in file cabinets.

Retrievability: By name of individual to whom it applies.

Safeguards: Not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been cleared by background investigations.

Retention and disposal: Dispose of 25 years after final legal action or date of closing. Retire two years after final legal action or date of closing.

System manager(s) and address: Assistant Commissioner (Inspection). (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See access above.

Record source categories: This system of records contains investigatory material compiled for criminal law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 60.003

System name: Conduct Investigation Files, Inspection—Treasury/IRS.

System location: National Office and Regional Inspector's Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Employees and former employees of: Internal Revenue Service, Office of the Secretary of the Treasury, Office of the General Counsel, Office of the Treasurer of the United States, Office of the Comptroller of the Currency, Office of International Finance, Bureau of Government Financial Operations, Bureau of Accounts, Bureau of Engraving and Printing, Bureau of the Mint, Bureau of the Public Debt, U.S. Savings Bond Division, and the Consolidated Federal Law Enforcement Training Center.

Categories of records in the system: Document citing complaint of alleged misconduct or violation of statute; Report of investigation to resolve allegation of misconduct or violation of statute, with related exhibits of statements, affidavits or records obtained during investigation; Report of action taken by management personnel adjudicating any misconduct substantiated by the investigation; and Report of legal action resulting from violations of statutes referred for prosecution.

Authority for maintenance of the system: 5 U.S.C. 301; 26 USC 7602, 7608, 7801, 7802; EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Routine disclosure may be made to authorized investigative offices of other Federal agencies in connection with background and security clearance procedures or when the subject is under investigation for employment or statute violations. For additional routine uses see Appendix AA.

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

Storage: Paper records, in folders, in file cabinets.

Retrievability: By name of individual to whom it applies.

Safeguards: Not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been cleared by background investigations.

Retention and disposal: Dispose of 25 years after separation of employee, or 25 years after date of last report if separation date is not known. Retire two years after separation of employee.

System manager(s) and address: Assistant Commissioner (Inspection) (See IRS Appendix A).

Notification procedure: Many of the records in this system may be exempt under subsections J and/or K Privacy Act of 1974 and may not be accessed for purposes of inspection or for contest of content of records. Individuals seeking to determine if their record is accessible may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant Commissioner (Inspection) National Office.

Record access procedures: Same as Notification section.

Contesting record procedures: Same as notification section.

Record source categories: Department of Treasury personnel and records, Taxpayers (Complainants, Witnesses, Confidential Informants), Other Federal Agencies, State and local agencies, Tax Returns and related documents, Personal observations of the investigator, and subjects of the investigation.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 60.004

System name: Disclosure Investigation Files, Inspection—Treasury/IRS.

System location: National Office and Regional Inspector's Offices. (See IRS Appendix A).

Categories of individuals covered by the system: (a) Internal Revenue Service employees who have allegedly disclosed confidential tax information. (b) State and Local Government employees who have allegedly disclosed confidential Federal tax information. (c) Tax return preparers who have allegedly disclosed confidential Federal tax information.

Categories of records in the system: (a) Document citing the complaint of the alleged criminal or administrative violation. (b) Investigative report, including statements, affidavits and any other pertinent documents supporting the investigative report, which will be attached as an exhibit. (c) Report of legal action if case is accepted by U.S. Attorney for prosecution. (d) Report of action by management personnel if case is referred for administrative adjudication.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602, 7608, 7801, 7802; EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. (b) Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. (c) Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. (d) Routine disclosure may be made to authorized investigative offices of other Federal agencies in connection with background and security clearance procedures or when the subject is under investigation for employment or statute violations. (e) For additional routine uses see Appendix AA.

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

Storage: Paper records, in folders, in file cabinets.

Retrievability: By name of individual to whom it applies.

Safeguards: Not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been cleared by background investigations.

Retention and disposal: Dispose of 25 years after separation of employee, 25 years after date of last report if separation is not known, or 25 years after final legal action or date of closing if subject is not an employee of IRS. Retire two years after separation of employee, or two years after date of final legal action or date of closing if subject is not an employee of IRS.

System manager(s) and address: Assistant Commissioner (Inspection).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See access above.

Record source categories: This system of records contains investigatory material compiled for criminal law enforcement purposes whose sources need not be reported.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 60.005

System name: Enrollee Applicant Investigation Files; Inspection—Treasury/IRS.

System location: National Office and Regional Inspector's Offices. (See IRS Appendix A).

Categories of individuals covered by the system: Former employees and non-IRS persons who apply for enrollment to practice before IRS under the provisions of Circular 230.

Categories of records in the system: Investigative report covering results of checks of: FBI files; Inspection files; local police; Audit and Intelligence Division files; and verification of Federal tax filing status. Also, appropriate documents attached as exhibits showing results of above file checks.

Authority for maintenance of the system: 26 U.S.C. 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. (b) Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. (c) Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. (d) Routine disclosure may be made to authorized investigative offices of other Federal agencies in connection with background and security clearance procedures or when the subject is under investigation for employment or statute violations. (e) For additional routine uses see Appendix AA.

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

Storage: Paper records, in folders, in file cabinets.

Retrievability: By name of individual to whom it applies.

Safeguards: Not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been cleared by background investigations.

Retention and disposal: Dispose of one year after date of report.

System manager(s) and address: Assistant Commissioner (Inspection). (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant Commissioner (Inspection) National Office.

Record access procedures: Same as Notification section.

Record source categories: Internal Revenue Service, Federal Bureau of Investigation, Local police departments.

Treasury/IRS 60.006

System name: Enrollee Charge Investigation Files, Inspection—Treasury/IRS

System location: National Office and Regional Inspector's Offices.

Categories of individuals covered by the system: IRS employees or former employees, tax practitioners, attorneys, certified public accountants or enrolled persons.

Categories of records in the system: A documented complaint or request for investigation alleging criminal or administrative misconduct affecting IRS integrity. A report of investigation, including exhibits such as affidavits, statements or documents which have been reviewed. A report of legal action resulting from violations of statutes referred for prosecution. A report of action taken by management personnel adjudicating any misconduct on the part of an IRS employee substantiated by the investigation.

Authority for maintenance of the system: 26 U.S.C. 7801, 7802, 7608.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Routine disclosure may be made to authorized investigative offices of other Federal agencies in connection with background and security clearance procedures or when the subject is under investigation for employment or statute violations. For additional routine uses see Appendix AA.

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

Storage: Paper records, in folders, in file cabinets.

Retrievability: By name of individual to whom it applies.

Safeguards: Not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been cleared by background investigations.

Retention and disposal: Dispose of 25 years after final legal action or date of closing. Retire two years after final legal action or date of closing.

System manager(s) and address: Assistant Commissioner (Inspection). (See IRS Appendix A).

Notification procedure: Many of the records in this system may be exempt under subsections J and/or K of the Privacy Act of 1974 and may not be accessed for purposes of inspection or for contest of content of records. Individuals seeking to determine if their record is accessible may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant Commissioner (Inspection) National Office.

Record access procedures: Same as Notification section.

Contesting record procedures: Same as notification above.

Record source categories: Department of Treasury, Personnel and Records, Other Federal agencies, Taxpayers/Complainants, State and local agencies, Tax returns, Newspapers, Person acquainted with the individual under investigation, Subjects of the investigation, and Personal observations of the investigator.

Systems exempted from certain provisions of the act: Portions of this system are proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 60.007

System name: Miscellaneous Information File, Inspection—Treasury/IRS

System location: National Office and Regional Inspector's Office. (See IRS Appendix A).

Categories of individuals covered by the system: Employees and former employees of the Internal Revenue Service, Tax practitioners (Attorneys, Certified Public Accountants, Enrolled Persons, Return Preparers), Alleged tax violators, Persons whose actions or alleged actions indicate a threat to IRS employees, facilities, or the integrity of the tax system, Confidential Informants, and Reputed members of the organized criminal element.

Categories of records in the system: Complaint type information regarding IRS employees which is not, in itself, specific or significant enough to initiate an investigation when received. Allegations of bribery and gratuities by taxpayers and/or their representatives which are not by themselves specific or significant enough to initiate an investigation when received. Any information received or developed by Inspection that has a bearing on IRS, but is not of itself specific or significant enough to initiate an investigation when received. Information received by Inspection pertaining to alleged violations enforced by other agencies or Divisions of IRS, copies of which are referred to those respective agencies or divisions. Photographs and descriptive data of some IRS employees and of persons arrested by Inspection. Information concerning lost or stolen Government

documents, property, credentials or IRS employee personal property lost or stolen on Government premises. List of persons in State or Local Government agencies working under State agreements and having access to Federal Tax information. Newspaper or periodical items about IRS. Newspaper items regarding attorneys, CPA's, Tax Practitioners or Return Preparers arrested, indicted, convicted or under investigation by other agencies. Allegations of threats, assaults, forcible interference or other violence type activity aimed at employees or facilities of IRS which are not by themselves specific or significant enough to initiate an investigation when received. Information regarding Inspection's mission which does not fall into any of the above categories.

Authority for maintenance of the system: 5 U.S.C. 301; 26 USC 7602, 7608, 7801, 7802; EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by U.S.C. 7801 and 7802. Routine disclosure may be made to authorized investigative offices of other Federal agencies in connection with background and security clearance procedures or when the subject is under investigation for employment or statute violations. Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Routine review by Inspection personnel for information relating to pending investigations or for areas of IRS procedures where investigative probes may disclose or dispel non-specific allegations of breaches of integrity. For additional routine uses see Appendix AA.

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

Storage: Paper records, in folders, in file cabinets.

Retrievability: By name of individual, subject, or incident involved.

Safeguards: Not less than provided for by the Physical and Document Security Handbook, IRM 1(16)H1. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been cleared by background investigations.

Retention and disposal: Dispose after 5 years, except Confidential Informant files are retained as long as informant remains active.

System manager(s) and address: Assistant Commissioner (Inspection).

Notification procedure: Some of the records in this system may be exempt under subsections J and/or K and may not be accessed for purposes of inspection or for contest of content of records. Individuals seeking to determine if their record is accessible may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant Commissioner (Inspection) National Office.

Record access procedures: Same as notification section.

Contesting record procedures: See notification above.

Record source categories: Department of Treasury Personnel and Records, Newspapers and Periodicals, Taxpayers (Complainants, Witnesses, and Informants), State and Local Government Agency Personnel and Records, and Anonymous Complainants.

Systems exempted from certain provisions of the act: Portions of this system proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 60.008

System name: Security, Background and Character Investigations Files, Inspection—Treasury/IRS

System location: National Office and Regional Inspector's Office, (See IRS Appendix A).

Categories of individuals covered by the system: Current, former and prospective employees of: Internal Revenue Service, Office of the Secretary of the Treasury, Office of the General Counsel, Office of the Treasurer of the United States, Office of the Com-

troller of the Currency, Office of International Finance, Bureau of Government Financial Operations, Bureau of Accounts, Bureau of Engraving and Printing, Bureau of the Mint, Bureau of the Public Debt, U.S. Savings Bond Division, Consolidated Federal Law Enforcement Training Center, and Private Contractors at IRS Facilities.

Categories of records in the system: (a) Federal Employment Application Forms (b) Results of National Agency Checks (prior reports and records from) FBI Investigative Files, Fingerprint Files, Civil Service Commission, Defense Central Index of Investigations, House Committee on Internal Security, and Coast Guard Intelligence. (c) Employee's Tax Account History (d) Results of Employees Audit (e) Employee's Financial Statement (f) A summary report, a narrative report, notes and/or written replies resulting from the investigator's inquiries into the subject's scholastic record, prior employments, military service, references, neighbors, police records and past credit record. (g) Report of action taken by management personnel adjudicating any derogatory information developed by the investigation. (h) Report of legal action resulting from violations of statutes referred for prosecution.

Authority for maintenance of the system: 5 U.S.C. 301; 26 USC 7602, 7608, 7801, 7802; EO 10450; EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and with requests for legal advice. Disclosure may be made during judicial processes. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Routine disclosure may be made to authorized investigative offices of other Federal agencies in connection with background and security clearance procedures or when the subject is under investigation for employment or statute violations. For additional routine uses see Appendix AA.

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

Storage: Paper records, in folders, in file cabinets.

Retrievability: By name of individual to whom it applies.

Safeguards: Not less than provided for by the Physical and Document Security Handbook, IRM 1(16)H1. Also, accessible to Inspection Personnel on a need-to-know basis, all of whom have been cleared by background investigations.

Retention and disposal: Dispose of 25 years after separation of employee, or after date of last report if separation date is unknown or applicant was not appointed. Retire two years after separation of employee.

System manager(s) and address: Assistant Commissioner (Inspection). (See IRS Appendix A).

Notification procedure: Some of the records in this system may be exempt and may not be accessed for purposes of inspection or for contest of content of records. Individuals seeking to determine if their record is accessible may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant Commissioner (Inspection) National Office.

Record access procedures: Same as Notification section.

Contesting record procedures: Same as notification above.

Record source categories: Employment Application Forms submitted by subject of investigation, Financial information from subject, Federal, State and Local Government Agencies (Police, Court and Vital Statistics records), Credit Reporting Agencies, Neighbors (former and present), References, Former and present employers and co-workers, Other third party sources, Schools, Tax Returns and Audit Results. Information provided by the individual under investigation.

Systems exempted from certain provisions of the act: Portions of this system proposed for exemption in the Federal Register.

Treasury/IRS 60.009

System name: Special Inquiry (Complaint) Investigation Files, Inspection—Treasury/IRS.

System location: National Office and Regional Inspector's Office. (See IRS Appendix A).

Categories of individuals covered by the system: Employees or former employees of the Treasury Department and the Internal Revenue Service. Non-employees whose alleged criminal actions may affect the integrity of the Internal Revenue Service.

Categories of records in the system: A documented complaint from some source alleging criminal or administrative misconduct affecting Internal Revenue Service integrity. A report of investigation to resolve the complaint, including exhibits of IRS or public documents reviewed during the investigation.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602, 7608, 7801, 7802; EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Routine disclosure may be made to authorized investigative offices of other Federal agencies in connection with background and security clearance procedures or when the subject is under investigation for employment or statute violations. For additional routine uses see Appendix AA.

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

Storage: Paper records, in folders, in file cabinets.

Retrievability: By name of individual to whom it applies.

Safeguards: Not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been cleared by background investigations.

Retention and disposal: Dispose of 25 years after separation of employee, or 25 years after date of last report. Retire two years after separation of employee or date of last report (if no employee is named).

System manager(s) and address: Assistant Commissioner (Inspection). (See IRS Appendix A).

Notification procedure: Many of the records in this system may be exempt under subsections J and/or K and may not be accessed for purposes of inspection or for contest of content of records. Individuals seeking to determine if their record is accessible may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant Commissioner (Inspection) National Office.

Record access procedures: Same as Notification above.

Contesting record procedures: Same as notification above.

Record source categories: Taxpayers (Complainants, Witnesses, Confidential Informants), Federal, State and Local Government Agencies' personnel and records (Police, court, property, etc.), Newspapers or periodicals, Department of the Treasury personnel and records, Financial institutions, and Other Private Business records.

Systems exempted from certain provisions of the act: Portions of this system are proposed for exemption in the Federal Register.

Treasury/IRS 60.010

System name: Tort Investigation Files, Inspection—Treasury/IRS.

System location: National Office and Regional Inspector's Office. (See IRS Appendix A).

Categories of individuals covered by the system: Employees of the Department of the Treasury and non-Federal persons involved in accidents on property under Department of the Treasury jurisdiction or with Department of the Treasury employees.

Categories of records in the system: A report of investigation including exhibits such as SF-91, Operator's Report of Motor Vehicle Accident; SF-91A, Investigation Report of Motor Vehicle Accident; SF-92A, Report of Accident Other Than Motor Vehicle; SF-94, Statement of Witness; Optional Form 26, Data Bearing Upon Scope of Employment of Motor Vehicle Operator. In addition, attached as

exhibits might be a Police Report of the accident; copies of insurance policies of the involved drivers; photographs of the scene or vehicles after the accident; Treasury Department vehicle maintenance record, medical records.

Authority for maintenance of the system: 5 U.S.C. 301; 26 U.S.C. 7602, 7608, 7801, 7802; EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosures may be made during judicial processes. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to other parties as necessary in the administration and enforcement of law as authorized by 26 U.S.C. 7801 and 7802. Routine disclosure may be made to authorized investigative offices of other Federal agencies in connection with background and security clearance procedures or when the subject is under investigation for employment or statute violations. Routine disclosure may be made to Chief Counsel personnel for defense of U.S. Government in claims or litigation filed against the Government. For additional routine uses see Appendix AA.

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

Storage: Paper records, in folders, in file cabinets.

Retrievability: By name of individual to whom it applies.

Safeguards: Not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41. Also, accessible to Inspection personnel on a need-to-know basis, all of whom have been cleared by background investigations.

Retention and disposal: Dispose of one year after date of report.

System manager(s) and address: Assistant Commissioner (Inspection). (See IRS Appendix A).

Notification procedure: Some of the records in this system may not be accessed for purposes of inspection or for contest of content of records. Individuals seeking to determine if their record is accessible may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to Assistant Commissioner (Inspection) National Office.

Record access procedures: Same as Notification above.

Contesting record procedures: Same as notification above.

Record source categories: Department of Treasury personnel and records, Federal, State and local police agencies, Witnesses, Subjects involved in the investigation, Hospitals (medical records), Doctors (medical records and personal observations), Personal observations of the investigator, Automobile repair facilities, Insurance Companies, Attorneys, Federal, state and local driver license records, and Federal and State vehicle registration records.

Treasury/IRS 70.001

System name: Individual Income Tax Returns, Statistics of Income—Treasury/IRS

System location: Primary—Internal Revenue Service Data Center, Secondary—(a) Internal Revenue Service, Statistics Division, (b) Federal Records Centers. (See IRS Appendix A).

Categories of individuals covered by the system: Taxpayers selected for an annual statistical sample.

Categories of records in the system: Sources of income, exemptions deductions, income tax, and tax credits, as reported on Forms 1040 and 1040A. The records are used to prepare and publish each year statistics, aggregated so as to prevent disclosure of taxpayer identity.

Authority for maintenance of the system: 26 U.S.C. 6108.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to: (a) The Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice; (b) other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies; and (c) States, the

District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

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

Storage: The statistical output records (i.e., those from which the statistics are directly derived) are maintained on magnetic tape. The input records are maintained as paper documents or copies thereof. The input records are of two types: (1) Copies of U.S. Individual Income Tax Returns (primary input records) and (2) Edit sheets (intermediate input records) which contain information manually abstracted from the primary records.

Retrievability: Each magnetic tape record is identified by social security number and a unique Document Locator Number assigned by the Internal Revenue Service. Those with sole proprietorship income, in addition, contain employer identification number, if reported by the taxpayer. Each primary input record and, for years before 1972, each intermediate input record are identified by name and address.

Safeguards: Access Controls will not be less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Dispose after 40 years.

System manager(s) and address: Assistant Commissioner (Planning and Research), National Office. (See IRS Appendix A).

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records.

Contesting record procedures: See access above.

Record source categories: Forms 1040 and 1040A, Individual Income Tax Returns.

Systems exempted from certain provisions of the act: Portions of this system are proposed for exemption elsewhere in the Federal Register.

Treasury/IRS 80.001

System name: Artist File, Assistant Commissioner (TECHNICAL)—Treasury/IRS.

System location: National Office (See IRS Appendix A).

Categories of individuals covered by the system: Famous or noted artists whose works have been evaluated.

Categories of records in the system: Commissioner's Art Panel decisions on values of works of art by named artists and appraisal documentation.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602, 26 U.S.C. 7805 (a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage, paper records. Retrievability, indexed by name. Safeguards, safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41. Retention and Disposal, System has been retained since 1968.

System manager(s) and address: Assistant Commissioner (Technical), National Office.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner (Technical), National Office.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner (Technical), National Office.

Contesting record procedures: See Access above.

Record source categories: Appraisal documentation and Art Panel decisions.

Treasury/IRS 80.003

System name: Correspondence Control and Records, Assistant Commissioner (Technical)—Treasury/IRS.

System location: National Office (See IRS Appendix A).

Categories of individuals covered by the system: Individual subjects of letter rulings, technical advice, and other correspondence from the Office of the Assistant Commissioner (Technical).

Categories of records in the system: Cards containing taxpayer names, date of correspondence, issue, and related information, and related letter ruling, technical advice, and other correspondence files.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602, 26 U.S.C. 7805 (a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 CFR 301.6103) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Routine disclosure may be made to the Social Security Administration of the Department of Health, Education, and Welfare, or to the Railroad Retirement Board to assist in the administration of the Social Security Act, the Railroad Retirement Act, and related acts. Routine disclosure may be made to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage, paper records. Retrievability, indexed by name. Safeguards, safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41. Retention and Disposal, Cards retained indefinitely; related files destroyed or retired over varying numbers of years as specified in the Records Control Schedule, IRM 1(15)59-110.

System manager(s) and address: Assistant Commissioner (Technical), National Office. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instruction appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner (Technical), National Office.

Record access procedures: Individual seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner (Technical), National Office. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.¹⁰

Contesting record procedures: See Access above.

Record source categories: Individual subjects of letter rulings, technical advice, and other correspondence; field office personnel.

Treasury/IRS 80.002

System name: Expert witness and fee appraiser files, Assistant Commissioner (Technical)—Treasury/IRS.

System location: National Office (See IRS Appendix A).

Categories of individuals covered by the system: Potential expert witnesses for litigation and fee appraisers for art valuation.

Categories of records in the system: Biographical sketches, application letters or list of names by specialty.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602, 26 U.S.C. 7805 (a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential

criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage, paper records. Retrievability, indexed by name. Safeguards, safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41. Retention and Disposal, Retained for many years, will be purged periodically to reflect current data.

System manager(s) and address: Assistant Commissioner (Technical), National Office. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner (Technical), National Office.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner (Technical), National Office.

Contesting record procedures: See Access above.

Record source categories: Varied, generally from the named individual, often unsolicited.

Treasury/IRS 80.004

System name: Reference Index Digest Cards, Assistant Commissioner (Technical)—Treasury/IRS.

System location: National Office (See IRS Appendix A).

Categories of individuals covered by the system: Individual subjects of letter rulings, technical advice, and other correspondence, where case was published as a Revenue Ruling or classified as "Reference".

Categories of records in the system: Cards containing taxpayer names, issue, disposition of case, and related information.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602, 26 U.S.C. 7805 (a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage, paper records. Retrievability, indexed by name. Safeguards, safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41. Retention and Disposal, Retained indefinitely.

System manager(s) and address: Assistant Commissioner (Technical), National Office (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner (Technical), National Office.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner (Technical), National Office. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Individual subjects of letter rulings, technical advice, and other correspondence, and field office personnel where case was published as a Revenue Ruling or classified as "Reference".

Treasury/IRS 80.005

System name: Reports of Significant Matters (Form M-5945), Assistant Commissioner (Technical)—Treasury/IRS.

System location: National Office (Certain Division and Branch Offices) (See IRS Appendix A).

Categories of individuals covered by the system: Individual subjects of letter ruling requests, technical advice requests etc., where a "Report of Significant Matter in Technical" has been prepared because of the presence of a matter significant to Tax Administration.

Categories of records in the system: Copies of "Reports of Significant Matter in Technical".

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, 26 U.S.C. 7802, 26 U.S.C. 7602, 26 U.S.C. 7805 (a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in this system of records may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Storage, paper records. Retrievability, indexed by name. Safeguards, safeguards will not be less than provided by the Physical and Document Security Handbook, IRM 1(16)41. Retention and Disposal, varied.

System manager(s) and address: Assistant Commissioner (Technical), National Office. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner (Technical), National Office.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part I, Subpart C, Appendix B. Inquiries should be addressed to the Assistant Commissioner (Technical), National Office.

Contesting record procedures: See Access above.

Record source categories: Individual subjects of letter ruling requests, technical advice requests, and other correspondence; field office personnel, where a "Report of Significant Matter in Technical" has been prepared.

Treasury/IRS 90.001

System name: Chief Counsel Criminal Tax Case Files. Each Regional Counsel Office, each branch Regional Counsel Office, and the National Office maintain one of these systems. The information in this notice applies to all 38 systems—Treasury/IRS.

System location: The addresses of the National Office, each Regional Counsel Office and each branch Regional Counsel Office are listed in the Appendix, IRS Appendix A.

Categories of individuals covered by the system: (1) Taxpayers and related parties against whom tax-related criminal recommendations have been made. (2) Taxpayers and related parties under investigation for criminal tax-related violations who have corresponded with the Regional Counsel's Office. (3) Taxpayers and related parties on whom advice has been requested concerning investigation for tax-related offenses. (4) Potential witnesses in criminal tax investigations. (5) Investigative subjects in connection with Organized Crime Drive, Strike Force, Narcotics Project, or HUD project.

Categories of records in the system: (1) Internal Control Records. (2) Legal and administrative files including investigative reports. (3) Correspondence files. (4) Information on potential witnesses including expert witnesses. (5) Special project files such as Organized Crime Drive, Narcotics Project and HUD project.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pur-

suant thereto. (3) To appropriate parties when the Service is engaged in litigation or in preparation of possible litigation such as potential witnesses for the purpose of securing their testimony, courts for the purpose of proceeding with litigation, non-adversary or adversary parties and their attorneys for the purpose of proceeding with litigation or settlement of disputes, individuals seeking information by using established discovery procedures, to federal, foreign and state government agencies to the extent necessary to obtain records in their possession. (4) To members of Congress for the purpose of answering Congressional inquiries in cases in which confidentiality has been waived by the individual. (5) Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 C.F.R. 301.6103 where applicable). (6) For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Records are retrievable by the name of the person to whom they apply.

Safeguards: Records are locked up during nonworking hours and during periods when the work area is vacant. Access is strictly controlled and limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal: Except for files retained for their research value, Regional Counsel legal files are generally retired to the Federal Records Center 2 years after they are closed and disposed of 20 years after closing. National Office legal files are retired to the Federal Records Center 5 years after the case is closed. National Office non-precedent cases are transferred to the National Archives 20 years after the case is closed. Other records are retained indefinitely and disposed of when no longer useful. Files transferred from other divisions are returned to the source when no longer needed.

System manager(s) and address: Each Regional Counsel is the system manager of the systems in his or her Region. The Director of the Criminal Tax Division is the system manager of the National Office system. The addresses are in the Appendix. See IRS Appendix A.

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual as it is exempt under 5 U.S.C. 552a(j) (2).

Record access procedures: This system of records may not be accessed for the purposes of inspection or for contest of content of records as it is exempt under 5 U.S.C. 552a(j) (2).

Contesting record procedures: See Access above.

Record source categories: Taxpayers and their representatives, Department of Treasury personnel, Other Federal agencies, State, local, and foreign governments, Witnesses, Informants, Parties to disputed matters of fact or law, Other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 90.002

System name: Chief Counsel Disclosure Division Case Files—Treasury/IRS.

System location: Disclosure Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Categories of individuals covered by the system: Persons who communicate with the Service regarding disclosure matters or who are involved with a disclosure issue involving the Service.

Categories of records in the system: (1) Legal Case and Administrative Case Files, (2) Internal Control Records.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and

whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (3) To appropriate parties when the Service is engaged in litigation or in preparation of possible litigation such as potential witnesses for the purpose of securing their testimony, courts for the purpose of proceeding with litigation, non-adversary or adversary parties and their attorneys for the purpose of proceeding with litigation or settlement of disputes, to individuals seeking information by using established discovery procedures, to federal, foreign, and state government agencies to the extent necessary to obtain records in their possession. (4) To members of Congress for the purpose of answering Congressional inquiries in cases in which confidentiality has been waived by the individual. (5) Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 C.F.R. 301.6103 where applicable). (6) For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Records are retrievable by the name of the person to whom they apply.

Safeguards: A background investigation is made on personnel. Division offices are located in a security area to which only personnel of the Disclosure Division and the Intelligence Division have keys. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal: All records are retained indefinitely and disposed of when no longer useful.

System manager(s) and address: Director, Disclosure Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, Washington, D.C. 20224.

Notification procedure: Most of the records in this system may not be accessed for purposes of determining if the records pertain to a particular individual as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k)(2). An individual who wishes to determine whether the system contains any records pertaining to himself which are not exempt may address inquiries to the Director of the Disclosure Division. The address is listed in the Appendix. Inquiries must be made in accordance with the instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B.

Record access procedures: Most of the records in this system may not be accessed for purpose of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2). Individuals seeking access to any record which is not exempt or seeking to contest its content, may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division. The address is listed in the Appendix. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Persons who communicate with the agency regarding disclosure matters, Department of Treasury Employees, State, local, and foreign governments, Other Federal agencies, Witnesses, Informants, Parties to disputed matters of fact or law.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 90.003

System name: Chief Counsel General Administrative Systems. Each of the 37 Regional Counsel Offices and Branch Regional Counsel Offices, each of the 9 Divisions in the National Office, the Office of the Chief Counsel, the 2 Offices of the Associate Chief Counsels and the Office of the Assistant Chief Counsel maintain a General Administrative System. This notice applies to all 50 of these systems.—Treasury/IRS.

System location: The location of these systems are listed in the Appendix, see IRS Appendix A.

Categories of individuals covered by the system: (1) Past, present and prospective employees of the Chief Counsel's Office. (2) Tax Court Witnesses.

Categories of records in the system: (1) Employee records other than Official Personnel Files of the Civil Service Commission. (2) Time and Attendance Cards. (3) Financial Records such as Travel Expenses, Notary Public Expenses, Moving Expenses, Expenses of Tax Court Witnesses and Miscellaneous Expenses. (4) Employee Recruiting Records.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) An apparent violation of the law will be referred to the appropriate law enforcement authorities for investigation and possible criminal prosecution, civil court action, or regulatory order. (3) To members of Congress for the purpose of answering Congressional inquiries in cases in which confidentiality has been waived by the individual. (4) To the Civil Service Commission for appropriate personnel actions. (5) A record from this system of records may be disclosed to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit. (6) A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (7) For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Records are generally retrievable by the name of the person to whom they apply.

Safeguards: Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal: Records are retained indefinitely and disposed of when no longer useful.

System manager(s) and address: Each Regional Counsel is the system manager of the systems in his or her Region. Each Division Director is the system manager of the system in his or her Division. The Chief Counsel, the 2 Associate Chief Counsels, and the Assistant Chief Counsel are the system managers of the system in each of their Offices. See IRS Appendix A.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Regional Counsel of the Region in which the records are located or the Director of the Disclosure Division in the case of records in the National Office. The addresses are listed in the Appendix.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Regional Counsel of the Region in which the records are located or the Director of the Disclosure Division in the case of records in the National Office. The addresses are listed in the Appendix. Information leading to the identity of a confidential source is exempt pursuant to 5 U.S.C. 552a (k) (5).

Contesting record procedures: See Access above.

Record source categories: Employees, Department of Treasury Personnel, Tax Court Witnesses, Civil Service Commission, Other Federal agencies, State, local, and foreign governments, References, Former employers.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 90.004

System name: Chief Counsel General Legal Services Case Files. Each of the seven Regional Counsel Offices and the National Office do or will maintain a General Legal Services Case File System. The information in this notice applies to all eight systems.—Treasury/IRS.

System location: The addresses of the National Office and each Regional Counsel Office are listed in the Appendix, see IRS Appendix A.

Categories of individuals covered by the system: Persons involved in litigation, actions, investigations or cases falling within the jurisdiction of the General Legal Services function including persons—(1) who have caused service of subpoenas, summonses, or other judicial process directed to an officer or employee of the Treasury Department in his official capacity. (2) who are parties in personnel matters, as well as discrimination and labor management relations matters, of the Internal Revenue Service, Chief Counsel's Office or, in some instances, other agencies in the Treasury Department. (3) who are parties in practitioner actions under the jurisdiction of the Director of Practice or the Joint Board of Actuaries. (4) who are parties in procurement matters and under the Federal Claims Collection Act. (5) who are parties in litigation or administrative claims involving the Federal Tort Claims Act, the Military Personnel and Civilian Employee Compensation Act, relief of accountable officers for loss of Government funds, rewards, acts of officers or employees acting within the scope of their employment, or official acts of officers or employees not directly relating to Federal tax issues but relating to the Internal Revenue Service. (6) who are parties in miscellaneous matters referred to the General Legal Service Division. (7) who are the subjects of investigations made by the Internal Service Division if the case is referred to the General Legal Services Division. (8) who have filed petitions for the remission or mitigation of forfeitures or who are otherwise directly involved as parties in forfeiture matters, judicial or administrative. (9) who have corresponded regarding a matter under consideration within the General Legal Services Division.

Categories of records in the system: (1) Legal Case and Administrative Case Files. (2) Internal Control Cards. (3) Correspondence Files.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To the Department of Justice for the purposes of litigating an action or seeking legal advice. (2) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (3) To the Department of Labor in the performance of its functions in the area of personnel, discrimination and labor management matters. (4) To the Director of Practice and Joint Board of Actuaries in practitioner disciplinary matters. (5) To the Civil Service Commission in personnel, discrimination and labor management matters. (6) To arbitrators, the Federal Labor Relations Council, the Federal Service Impasses Panel, and the Federal Mediation and Conciliation Service in labor management matters. (7) To the General Services Administration in property management matters. (8) To appropriate parties when the Service is engaged in litigation or in preparation of possible litigation such as potential witnesses for the purpose of securing their testimony, courts for the purpose of proceeding with litigation, adversary parties and their attorneys for the purpose of proceeding with litigation or settlement of disputes, to individuals seeking information by using established discovery procedures, to federal, foreign, and state government agencies to the extent necessary to obtain records in their possession. (9) To members of Congress for the purposes of answering Congressional inquiries in cases in which confidentiality has been waived by the individual. (10) For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Records are retrievable by the name of the person to whom they apply. If more than one person is involved in a given case then it is generally retrievable only by the first named person.

Safeguards: Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal: Legal files are retained indefinitely and disposed of when no longer useful. Files transferred from other divisions are returned to the source when no longer needed. Other records are retained indefinitely and disposed of when no longer useful.

System manager(s) and address: Each Regional Counsel is the system manager of the system in his or her Region. The Director of the General Legal Services Division is the system manager of the National Office system. The addresses are in the Appendix.

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2).

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2).

Contesting record procedures: See Access above.

Record source categories: Taxpayers and their representatives, Department of Treasury personnel, Other Federal agencies, State, local, and foreign governments, Witnesses, Informants, Parties to disputed matters of fact or law, Other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 90.005

System name: Chief Counsel General Litigation Case Files. Each Regional Counsel Office, each branch Regional Counsel Office, and the National Office maintain one of these systems. The information in this notice applies to all 38 systems—Treasury/IRS.

System location: The addresses of the National Office, each Regional Counsel Office and each branch Regional Counsel Office are listed in the Appendix; see IRS Appendix A.

Categories of individuals covered by the system: (1) Taxpayers or other individuals involved in matters referred to the General Litigation function including: (A) Taxpayers with outstanding tax liabilities or with potential outstanding tax liabilities. (B) Persons from whom information is being sought (summons). (C) Persons requesting information (disclosure). (D) Present or former Internal Revenue Service employees who are being or may be sued in connection with their duties or who have been called upon to testify in private litigation. (E) Persons who are or may be liable to the United States on non-tax claims. (F) Persons who have submitted offers in compromise of federal taxes. (2) Persons who have corresponded regarding a matter under consideration within the General Litigation section.

Categories of records in the system: (1) Legal and Administrative Files. (2) Internal Control Records. (3) Offer in Compromise Files. (4) Correspondence Files.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To other Federal agencies holding funds of taxpayer for the purpose of collecting a liability owed by the taxpayer. (2) To the Department of Justice for the purpose of litigating an action or seeking legal advice. (3) State and local taxing authorities for purpose of enforcing federal tax laws. (4) Federal, state and local regulatory authorities for purposes of collection of federal taxes. (5) Appropriate parties when the Service is engaged in litigation or in preparation of possible litigation such as potential witnesses for the purpose of securing their testimony, courts for the purpose of proceeding with litigation, non-adversary or adversary parties and their attorneys for the purpose of proceeding with litigation or settlement of disputes, individuals seeking information by using established discovery procedures, to federal, foreign and state government agencies to the extent necessary to obtain records in their possession. (6) To

members of Congress for the purpose of answering Congressional inquiries in cases in which confidentiality has been waived by the individual. (7) Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 C.F.R. 301.6103 where applicable). (8) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (9) For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Records are retrievable by the name of the person to whom they apply.

Safeguards: Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal: Except for files retained for their research value, Regional Counsel legal files are generally retired to the Federal Records Center three years after they are closed and disposed of 10 years after being closed. National Office legal files are retired to the Federal Records Center 5 years after the case is closed. National Office non-precedent cases are transferred to the National Archives 20 years after the case is closed. Records other than legal files are retained indefinitely and disposed of when no longer useful. Files transferred from other divisions are returned to the source when no longer needed.

System manager(s) and address: Each Regional Counsel is the system manager of the systems in his or her Region. The Director of the General Litigation Division is the system manager of the National Office system. The addresses are in the Appendix.

Notification procedure: Most of the records in this system may not be accessed for purposes of determining if the records pertain to a particular individual as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2). An individual who wishes to determine whether the system contains any records pertaining to himself which are not exempt may address inquiries to the Regional Counsel of the Region in which the records are located or the Director of the Disclosure Division in the case of National Office Records. The addresses are listed in the Appendix. Inquiries must be made in accordance with the instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B.

Record access procedures: Most of the records in this system may not be accessed for purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2). Individuals seeking access to any record which is not exempt or seeking to contest its content, may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Regional Counsel of the Region in which the records are located or the Director of the Disclosure Division in the case of National Office Records. The addresses are listed in the Appendix. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so; as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Taxpayers and their representatives, Department of Treasury personnel, Other Federal agencies, State, local, and foreign governments, Witnesses, Informants, Parties to disputed matters of fact or law, Other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 90.006

System name: Chief Counsel Interpretative Division Case Files—Treasury/IRS.

System location: Interpretative Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Categories of individuals covered by the system: Taxpayers concerning whom legal issues have been referred to the Interpretative Division for opinion.

Categories of records in the system: (1) Legal Case and Administrative Files and Advisory Legal Opinions, (2) General Counsel Memorandums, (3) Office Memorandums, (4) Internal Control Records.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (3) To the Social Security Administration to consult about a matter involving legal issues concerning the imposition of Social Security taxes. (4) To the Department of Labor or the Pension Benefit Guaranty Corporation concerning the Employee Retirement Income Security Act. (5) To members of Congress for the purpose of answering Congressional inquiries in cases in which confidentiality has been waived by the individual. (6) Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 C.F.R. 301.6103 where applicable). (7) For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Records are retrievable by the name of the person to whom they apply.

Safeguards: Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal: General Counsel Memorandums, Office Memorandums, and Internal Control Records are retained indefinitely and disposed of when no longer useful. Legal files are transferred to the National Archives 25 years after the case is closed.

System manager(s) and address: Director, Interpretative Division, Internal Revenue Service, Office of the Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division. The address is listed in the Appendix.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division. The address is listed in the Appendix. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Taxpayers and their representatives, Department of Treasury personnel, Other Federal agencies, State, local, and foreign governments, Other persons who communicate with the Internal Revenue Service.

Treasury/IRS 90.007

System name: Chief Counsel Legislation and Regulations Division Correspondence and Private Bill Files—Treasury/IRS.

System location: Legislation and Regulations Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, Washington, D.C. 20224.

Categories of individuals covered by the system: (1) Persons who have corresponded to the Service, the Department of the Treasury, the White House or Members of Congress regarding a matter in which the Legislation and Regulations Division was asked to draft a reply. (2) Persons on whose behalf private relief bills were introduced in Congress involving tax related matters.

Categories of records in the system: (1) Correspondence Files, (2) Private Relief Bill Legal Files.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (3) To the agency or individual who directed correspondence to the Legislation and Regulations Division for the Division to draft a response. (4) To members of Congress for the purpose of answering Congressional inquiries in cases in which confidentiality has been waived by the individual. (5) Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 C.F.R. 301.6103 where applicable). (6) For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Correspondence files are retrievable by the name of the individual who initiated the correspondence. Private Relief Bill files are retrievable by the H.R. or S. number for each Congress.

Safeguards: Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal: Correspondence files are generally disposed of after 3 years. Private Relief Bill files are retained indefinitely and disposed of when no longer useful.

System manager(s) and address: Director, Legislation and Regulations Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, Washington, D.C. 20224.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division. The address is listed in the Appendix; IRS Appendix A.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division. The address is listed in the Appendix.

Contesting record procedures: See Access above.

Record source categories: Persons who initiate correspondence referred to the Legislation and Regulations Division, Congressional documents, taxpayers and their representatives, Department of Treasury personnel, other Federal agencies, state, local, and foreign governments, witnesses, informants.

Treasury/IRS 90.008

System name: Chief Counsel Refund Litigation Division Case Files—Treasury/IRS.

System location: Refund litigation Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Categories of individuals covered by the system: (1) Taxpayers who have filed suits for refunds of Federal taxes. (2) Persons who have corresponded regarding a matter under consideration within the Refund Litigation Division.

Categories of records in the system: (1) Legal Case and Administrative Case Files. (2) Internal Control Records. (3) Correspondence Files.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) An apparent violation of the law will be referred to the appropriate law enforcement authorities for investigation and possible criminal prosecution, civil court action, or regulatory order. (3) To appropriate parties when the Service is engaged in litigation or in preparation of possible litigation such as potential witnesses for the purpose of securing their testimony, courts for the purpose of proceeding with litigation, non-adversary or adversary parties and their attorneys for the purpose of proceeding with litigation or settlement of disputes, to individuals seeking information by using established discovery procedures, to federal, foreign, and state agencies to the extent necessary to obtain records in their possession. (4) To members of Congress for the purpose of answering Congressional inquiries in cases in which confidentiality has been waived by the individual. (5) Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 C.F.R. 301.6103 where applicable). (6) For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Records are retrievable by the name of the person to whom they apply.

Safeguards: Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal: Legal files are retired to the Federal Records Center after the case has been closed for 5 years. Non-precedent cases are transferred to the National Archives after the case has been closed for 20 years. Files transferred from other divisions are returned to the source when no longer needed.

System manager(s) and address: Director, Refund Litigation Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, Washington, D.C. 20224.

Notification procedure: This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2).

Record access procedures: This system of records may not be accessed for purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2).

Contesting record procedures: See Access above.

Record source categories: Taxpayers and their representatives, Department of Treasury personnel, Other Federal agencies, State, local, and foreign governments, Witnesses, Informants, Parties to disputed matters of fact or law, Other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 90.009.

System name: Chief Counsel Tax Court Case Files. Each Regional Counsel Office, each branch Regional Counsel Office, and the National Office maintain one of these systems. The information in this notice applies to all 38 systems—Treasury/IRS.

System location: The addresses of the National Office, each Regional Counsel Office, and each branch Regional Counsel Office are listed in the Appendix, see IRS Appendix A.

Categories of individuals covered by the system: (1) Taxpayers who have filed petitions with the Tax Court. (2) Taxpayers upon whom the issuance of a statutory notice is or was contemplated whose case has been referred to the Tax Court function. (3) Tax-

payers who are the subject of formal or informal advisory opinions during the investigative stage of the case or while under administrative processing. (4) Persons who have corresponded regarding a matter under consideration within the Tax Court function.

Categories of records in the system: (1) Legal Case and Administrative Case Files. (2) Internal Control Records. (3) Correspondence Files.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (3) To appropriate parties when the Service is engaged in litigation or in preparation of possible litigation such as potential witnesses for the purpose of securing their testimony, courts for the purpose of proceeding with litigation, non-adversary or adversary parties and their attorneys for the purpose of proceeding with litigation or settlement of disputes, individuals seeking information by using established discovery procedures, to federal, foreign and state government agencies to the extent necessary to obtain records in their possession. (4) To members of Congress for the purpose of answering Congressional inquiries in cases in which confidentiality has been waived by the individual. (5) Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 C.F.R. 301.6103 where applicable). (6) For additional Routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Records are retrievable by the name of the person to whom they apply.

Safeguards: Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal: Except for files retained for their research value, Regional Counsel legal files of cases tried in Tax Court are generally retired to the Federal Records Center two years after they are closed and disposed of 10 years after being closed. National Office legal files are retired to the Federal Records Center 5 years after the case is closed. National Office non-precedent cases are transferred to the National Archives 20 years after the case is closed. Other records are retained indefinitely and disposed of when no longer useful. Files transferred from other divisions are returned to the source when no longer needed.

System manager(s) and address: Each Regional Counsel is the system manager of the systems in his or her Region. The Director of the Tax Court Litigation Division is the system manager of the National Office system. The addresses are in the Appendix, See IRS Appendix A.

Notification procedure: Most of the records in this system may not be accessed for purposes of determining if the records pertain to a particular individual as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2). An individual who wishes to determine whether the system contains any records pertaining to himself which are not exempt may address inquiries to the Regional Counsel of the Region in which the records are located or the Director of the Disclosure Division in the case of National Office Records. The addresses are listed in the Appendix. Inquiries must be made in accordance with the instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B.

Record access procedures: Most of the records in this system may not be accessed for purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2). Individuals seeking access to any record which is not exempt or seeking to contest its content, may inquire in accordance

with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Regional Counsel of the Region in which the records are located or the Director of the Disclosure Division in the case of National Office Records. The addresses are listed in the Appendix. Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Taxpayers and their representatives, Department of Treasury personnel, Other Federal Agencies, State, local, and foreign governments, Witnesses, Informants, Parties to disputed matters of fact or law, Other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 90.010

System name: Digest Room Files Containing Briefs and Digests of Documents Generated Internally or by the Department of Justice Relating to the Administration of the Revenue Laws—Treasury/IRS.

System location: Administrative Services Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Categories of individuals covered by the system: Taxpayers who have sought Internal Revenue Service rulings and those whose cases are being or have been adjudicated.

Categories of records in the system: (1) Internal Control Records; (2) Briefs; (3) Legal Opinions.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To Justice Department personnel for research purposes. For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Records are retrievable by the name of the person to whom they apply.

Safeguards: Records are kept in a secured area. Access is limited to authorized personnel. Users of the system must show identification and sign a register each time the room is used. Background checks are made on employees.

Retention and disposal: Records are retained indefinitely and disposed of when no longer useful.

System manager(s) and address: Director, Administrative Services Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, Washington, D.C. 20224.

Notification procedure: Most of the records in this system may not be accessed for purposes of determining if the records pertain to a particular individual as the records are exempt under 5 U.S.C. 552a (d) (5) and/or (k) (2).

An individual who wishes to determine whether the system contains any records pertaining to himself which are not exempt may address inquiries to the Director of the Disclosure Division. The address is listed in the Appendix. Inquiries must be made in accordance with the instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. (See IRS Appendix A.)

Record access procedures: Most of the records in this system may not be accessed for purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a (d) (5) and/or (k) (2).

Individuals seeking access to any record which is not exempt or seeking to contest its content, may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division. The address is listed in the Appendix.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Department of Treasury personnel; Department of Justice personnel; taxpayers and their representatives; other Federal agencies; witnesses; informants; state, local, and foreign governments; parties to disputed matters of fact and law; other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 90.011

System name: Employee Recruiting Files Maintained by the Administrative Services Division—Treasury/IRS.

System location: Administrative Services Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Categories of individuals covered by the system: Persons who have applied for attorney positions with the Chief Counsel's Office, both National Office and field and persons who have applied for non-attorney positions in the National Office only.

Categories of records in the system: Applicant Files and lists of eligible applicants. Internal Control Records.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (3) To members of Congress for the purpose of answering Congressional inquiries in cases in which confidentiality has been waived by the individual. (4) To the Civil Service Commission for appropriate personnel actions. (5) A record from this system of records may be disclosed to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit. (6) A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (7) For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Records are retrievable by the name of the person to whom they apply.

Safeguards: Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal: The main applicant files are destroyed after 6 years of inactivity. Other records are destroyed when no longer useful.

System manager(s) and address: Director, Administrative Services Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division. The address is listed in the Appendix, see IRS Appendix A.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its

content, may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division. The address is listed in the appendix. Information leading to the identity of a confidential source is exempt pursuant to 5 U.S.C. 552a(k)(5).

Contesting record procedures: See Access above.

Record source categories: Applicants, Department of Treasury Personnel, Civil Service Commission, Other Federal Agencies, State, local, and foreign governments, References, Former employers.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 90.012

System name: Internal Control Records for Chief Counsel Legal Files—Treasury/IRS.

System location: Administration Services Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Categories of individuals covered by the system: Taxpayers who file petitions, suits for refund, request for revenue rulings and those who have had other matters pending before the Office of Chief Counsel.

Categories of records in the system: (1) Docket Cards. (2) Closed Card Records. (3) Drop Cards. (4) Federal Record Center File Binder Index.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To the Department of Justice to inform them of the location of a legal case file.

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

Storage: Paper records.

Retrievability: Records are retrievable by the name of the person to whom they apply.

Safeguards: Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal: Records are retained indefinitely and disposed of when no longer useful except for drop cards which are used to indicate that a legal file is out and are retained for reuse when the legal file is returned.

System manager(s) and address: Director, Administrative Services Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Notification procedure: Most of the records in this system may not be accessed for purposes of determining if the records pertain to a particular individual as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2).

An individual who wishes to determine whether the system contains any records pertaining to himself which are not exempt may address inquiries to the Director of the Disclosure Division. The address is listed in the Appendix. Inquiries must be made in accordance with the instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B.

Record access procedures: Most of the records in this system may not be accessed for purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2).

Individuals seeking access to any record which is not exempt or seeking to contest its content, may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division. The address is listed in the Appendix.

Contesting record procedures: See Access above.

Record source categories: Department of Treasury Personnel, Taxpayers and other individuals who initiate documents submitted to the Service.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 90.013

System name: Legal case files of the Chief Counsel, Deputy Chief Counsel, Associate Chief Counsels, Assistant Chief Counsel and their Staff Assistants—Treasury/IRS.

System location: Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Categories of individuals covered by the system: Persons whose cases at one time involved important issues or unusual circumstances which were brought to the attention of the above persons.

Categories of records in the system: Legal case files which include internal control records of such case files of both the persons currently holding the above positions and those who previously held such positions.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (3) To appropriate parties when the Service is engaged in litigation or in preparation of possible litigation such as potential witnesses for the purpose of securing their testimony, courts for the purpose of proceeding with litigation, non-adversary or adversary parties and their attorneys for the purpose of proceeding with litigation or settlement of disputes, to individuals seeking information by using established discovery procedures, to federal, foreign, and state government agencies to the extent necessary to obtain records in their possession. (4) To members of Congress for the purpose of answering Congressional inquiries in cases in which confidentiality has been waived by the individual. (5) Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 C.F.R. 301.6103 where applicable). (6) For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Records pertaining to individuals are retrievable by the name of the person to whom they apply.

Safeguards: Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal: Records are kept indefinitely and disposed of when no longer useful.

System manager(s) and address: Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Notification procedure: Most of the records in this system may not be accessed for purposes of determining if the records pertain to a particular individual as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2).

An individual who wishes to determine whether the system contains any records pertaining to himself which are not exempt may address inquiries to the Director of the Disclosure Division. The address is listed in the Appendix. Inquiries must be made in accordance with the instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B.

Record access procedures: Most of the records in this system may not be accessed for purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2).

Individuals seeking access to any record which is not exempt or seeking to contest its content, may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division. The address is listed in the Appendix.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Taxpayers and their representatives, Department of Treasury personnel, Other Federal agencies, State, local, and foreign governments, Other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 90.014

System name: Management Files Maintained by Administrative Services Division and the Assistant Chief Counsel other than the Civil Service Commission's Official Personnel Files—Treasury/IRS.

System location: Administrative Services Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C. 20224. The location of the Chief Counsel Selection Board Files and Statements of Employment and Financial Interests is: Assistant Chief Counsel, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Categories of individuals covered by the system: Current and former employees of Chief Counsel's Office, both National Office and field.

Categories of records in the system: Contains some materials which are duplicated materials contained in the Official Personnel File, or is payroll data duplicated in the master payroll records and include material such as: transfer and reassignment requests, correspondence, evaluations, personnel listings, retirement eligibility, home and office address and telephone numbers, information regarding employees' participation in training programs, resumes, information on participation in Health Maintenance Program, employees' suggestions, awards, lists of material typed by the Transcription Center according to the name of the attorney for whom it was typed, loans from Chief Counsel's Assistance Fund, records of keys and identification cards issued to employees, lists of individuals given special duties such as being a floor marshal, information on loss suffered by employees who are theft victims, list of long distance calls not made on FTS, list of bus tokens issued, list of parking permits, records of requests for use of GSA vehicles, case assignments, and financial information on employees.

Authority for maintenance of the system: 5 U.S.C. 301, 26 U.S.C. 7801, Executive Order 11222, and Executive Order 11590.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To the Department of Justice for the purpose of litigating an action or seeking legal advice. (2) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (3) To members of Congress for the purpose of answering Congressional inquiries in cases in which confidentiality has been waived by the individual. (4) To the Civil Service Commission for appropriate personnel actions. (5) A record from this system of records may be disclosed to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit. (6) A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (7) For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Records are retrievable by the name of the person to whom they apply.

Safeguards: Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal: Records are retained indefinitely and disposed of when no longer useful.

System manager(s) and address: Director, Administrative Services Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C. 20224. The system manager of the Chief Counsel Selection Board Files and the Statements of Employment and Financial Interests is: Assistant Chief Counsel, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division. The address is listed in the Appendix.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division. The address is listed in the Appendix. Information leading to the identity of a confidential source is exempt pursuant to 5 U.S.C. 552a (k) (5).

Contesting record procedures: See Access above.

Record source categories: Employees, Department of Treasury Personnel, Civil Service Commission, Other Federal agencies, State, local, and foreign governments, References, Former employers.

Systems exempted from certain provisions of the act: System proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 90.015

System name: Reference Records of the Library in the Office of Chief Counsel—Treasury/IRS.

System location: Administrative Services Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Categories of individuals covered by the system: (1) Authors of books and materials in library. (2) Taxpayers who have sought Congressional tax relief by means of a Private Bill. (3) Taxpayers involved in tax litigation.

Categories of records in the system: (1) Library Card Catalog. (2) Numerical and alphabetical listing of Private Relief Bill and files related to the Bill. (3) Reference cards for tax cases.

Authority for maintenance of the system: 5 U.S.C. 301 and 26 U.S.C. 7801.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: All information about individuals is available to the public pursuant to the Freedom of Information Act, 5 U.S.C. 552. For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Records are retrievable by the name of the individual to whom they pertain and Private Bill material can also be retrieved by H.R. or S. number.

Safeguards: Although access is limited to authorized individuals, this material would be available to any person through a Freedom of Information Act request.

Retention and disposal: Records are regularly updated. If the library materials to which the references pertain are no longer in the library collection, the reference cards are destroyed.

System manager(s) and address: Director, Administrative Services Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, Washington, D.C. 20224.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may

inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division. The address is listed in the Appendix.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division. The address is listed in the Appendix.

Contesting record procedures: See Access above.

Record source categories: Material to which reference information pertains.

Treasury/IRS 90.016

System name: Reports and Information Retrieval Activity Computer and Microfilm Records—Treasury/IRS.

System location: Computer Records: Internal Revenue Service Data Center, 1300 John Lodge Freeway, Detroit, Michigan 48226. Microfilm Records: Administrative Services Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C., 20224.

Categories of individuals covered by the system: (1) Taxpayers who initiated suits for refund in district courts or the Court of Claims. (2) Taxpayers who have filed petitions with the United States Tax Court. (3) Taxpayers who have requested rulings from the Service in those cases in which the request has been referred to the Office of Chief Counsel for a legal opinion. (4) Taxpayers who have been involved in litigation concerning the collection of taxes. (5) Taxpayers whose cases were the subject of technical advice, memoranda to the solicitor general and similar advisory memoranda.

Categories of records in the system: (1) Skeletal legal files. (2) Indexes. (3) Actions on Decisions. (4) Case Abstracts. (5) Technical Advice Replies by the Tax Court Litigation Division. (6) Miscellaneous Advisory Memoranda regarding a case usually going to the Solicitor General.

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: (1) To the Department of Justice for the purpose of litigating an action, seeking legal advice, or for research purposes. (2) In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. (3) Routine disclosure may be made to other agencies to the extent provided by law or regulation (including 26 U.S.C. 6103 and 26 C.F.R. 301.6103 where applicable). (4) For additional routine uses see Appendix AA.

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

Storage: Skeletal legal files and indexes to the narrative material or microfilm excluding the General Litigation Division's Actions on Decisions are stored on magnetic tape. Actions on Decisions, Case Abstracts, Technical Advice and Advisory Memoranda are stored on microfilm. Input documents are on paper.

Retrievability: Records are retrievable by the name of the person to whom they apply.

Safeguards: Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel or individuals in the company of authorized personnel.

Retention and disposal: Magnetic tape and microfilm retained indefinitely and disposed of when no longer useful. Input documents are retained for one year.

System manager(s) and address: Director, Administrative Services Division, Internal Revenue Service, Office of Chief Counsel, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Notification procedure: Most of the records in this system may not be accessed for purposes of determining if the records pertain to a particular individual as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2).

An individual who wishes to determine whether the system contains any records pertaining to himself which are not exempt may address inquiries to the Director of the Disclosure Division whose address is listed in the Appendix, see Appendix A.

Record access procedures: Most of the records in this system may not be accessed for purposes of inspection or for contest of content of records as the records are exempt under 5 U.S.C. 552a(d) (5) and/or (k) (2).

Individuals seeking access to any record which is not exempt or seeking to contest its content may inquire in accordance with instructions appearing at 31 C.F.R. Part 1, Subpart C, Appendix B. Inquiries should be addressed to the Director of the Disclosure Division whose address is listed in the Appendix.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Contesting record procedures: See Access above.

Record source categories: Taxpayers and their representatives, Department of Treasury personnel, Other Federal agencies, State, local, and foreign governments, Witnesses, Informants, Parties to disputed matters of fact or law, Other persons who communicate with the Internal Revenue Service.

Systems exempted from certain provisions of the act: This system is proposed to be exempted elsewhere in the Federal Register.

Treasury/IRS 00.001

System name: Correspondence files and correspondence control files—Treasury/IRS.

System location: Various offices of the Internal Revenue Service maintain files of correspondence received. (See IRS Appendix A).

Categories of individuals covered by the system: (1) Initiators of the correspondence. (2) Persons upon whose behalf the correspondence was initiated. (3) Subjects of the correspondence.

Categories of records in the system: (1) Correspondence received. (2) Responses to correspondence. (3) Associated records. Special categories of correspondence may be included in other systems of records described by specific notices. Files are maintained in connection with a variety of correspondence received and the uses vary widely in accordance with the content of the correspondence.

Authority for maintenance of the system: 5 U.S.C. 301, 26 USC 7801 and 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine disclosure of information contained in various files may be made to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made during judicial processes.

Routine disclosure may be made to other agencies to the extent provided by law or regulations and as necessary to report apparent violation of law to appropriate law enforcement agencies.

Routine disclosure may be made to other parties as necessary in the administration and enforcement of law. For additional routine uses see Appendix AA.

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

Storage: Paper records.

Retrievability: Controlled items are generally retrievable by name; some items are not retrievable, depending upon the controls established locally.

Safeguards: Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 11641.

Retention and disposal: Disposition varies in accordance with the nature of the correspondence file, but is made in accordance with the Records Disposition Handbook, IRM 115159.

System manager(s) and address: Head of the office maintaining the file. (See IRS Appendix A).

Notification procedure: Individuals seeking to determine if a system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR, Part 1, Subpart C, Appendix B. Inquiries should be addressed to the of-

file believed to have received the correspondence. (See IRS Appendix A).

Record access procedures: Individuals seeking access to any record contained in a system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR, Part 1, Subpart C, Appendix B. Inquiries should be addressed to the office believed to have received the correspondence.

Contesting record procedures: See Access above.

Record source categories: Information supplied by the initiators of the correspondence and information secured internally from other systems of records.

Treasury/IRS 00.002

System name: Correspondence Files/Inquiries About Enforcement Activities—Treasury/IRS.

System location: National Office, Regional Offices, District Offices and Service Centers.

Categories of individuals covered by the system: Individuals for whom tax liabilities exist, individuals who have made a complaint or inquiry relative to an Internal Revenue tax matter, or individuals for whom a third party is interceding relative to an Internal Revenue tax matter.

Categories of records in the system: Taxpayer name, address, taxpayer identification number (if applicable), information about tax matters (if applicable), chronological investigative history. Other information relative to the conduct of the case and/or the taxpayer's compliance history (if applicable).

Authority for maintenance of the system: 5 USC 301; 26 USC 7602; 26 USC 7801, 7802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information contained in this system of records may be disclosed to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation, and in connection with requests for legal advice. Disclosure may be made to other agencies to the extent provided by law or regulation (including 26 USC 6103 and 26 CFR 301.6103 where applicable) and as necessary to report apparent violations of law to appropriate law enforcement agencies. Information may be disclosed to States, the District of Columbia, the Commonwealth of Puerto Rico, or possessions of the United States, to assist in the administration of tax laws. Disclosure may be made to other parties when necessary in the administration and enforcement of law as authorized by 26 USC 7801 and 7802. Disclosure may be made during judicial processes.

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

Storage: Paper records.

Retrievability: Controlled items are generally retrievable by name; some items are not retrievable, depending upon the controls established locally.

Safeguards: Access controls will be not less than provided for by the Physical and Document Security Handbook, IRM 1(16)41.

Retention and disposal: Disposition varies in accordance with the nature of the correspondence file, but is made in accordance with the Records Disposition Handbook, IRM 1(15)59.

System manager(s) and address: Assistant Commissioners, Regional Commissioners, District Directors and Service Center Directors of Internal Revenue.

Notification procedure: Individuals seeking to determine if the system of records contains a record pertaining to themselves may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be searched. This system may contain some records which are exempt from the notification provisions of the Privacy Act. Requesters will not be advised of the existence of records exempt from the notification provisions.

Record access procedures: Individuals seeking access to any record contained in the system of records or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR Part 1, Subpart C, Appendix B. Inquiries should be addressed to the District Director for each District whose records are to be accessed or contested.

This system may contain some records which are exempt from the Access and Contest provisions of the Privacy Act.

Taxpayers seeking to adjust records which affect the determination of a tax assessment or the balance due, should utilize existing procedures for doing so, as substantive tax matters are not subject to the amendment provisions of the Privacy Act.

Record source categories: This system of records contains investigatory material compiled for law enforcement purposes whose sources need not be reported.

System name: Treasury/IRS

System name: Appendix A

Inquiries under Treasury/IRS systems should be addressed to the office whose records are to be searched. The titles and addresses of the Systems Managers are as follows:

NATIONAL OFFICE INTERNAL REVENUE SERVICE

Assistant Commissioner (Public Affairs)

Assistant Commissioner (Accounts, Collection and Taxpayer Service)

Assistant Commissioner (Administration)

Assistant Commissioner (Compliance)

Assistant Commissioner (Employee Plans and Exempt Organizations)

Assistant Commissioner (Inspection)

Assistant Commissioner (Planning and Research)

Assistant Commissioner (Technical)

Chief Counsel

The address for all of the above Systems Managers is as follows:

1111 Constitution Avenue, N.W.

Washington, D.C. 20224

REGIONAL OFFICE INTERNAL REVENUE SERVICE

Central Region:

Regional Commissioner, Internal Revenue Service, 550 Main Street, Cincinnati, Ohio 45202.

Regional Inspector, Internal Revenue Service, 550 Main Street, Cincinnati, Ohio 45202.

District Director, Internal Revenue Service, 550 Main Street, Cincinnati, Ohio 45202.

District Director, Internal Revenue Service, 1240 East 9th Street, Cleveland, Ohio 44199.

District Director, Internal Revenue Service, U.S. Post Office and Courthouse Building, Detroit, Michigan 48226.

District Director, Internal Revenue Service, U.S. Post Office and Courthouse Building, Indianapolis, Indiana 46204.

District Director, Internal Revenue Service, 313 Post Office Building, Louisville, Kentucky 40202.

District Director, Internal Revenue Service, 425 Juliana Street, Parkersburg, West Virginia 26101.

Director, Internal Revenue Service Center, Central Region, Cincinnati, Ohio 45298.

Mid-Atlantic Region:

Regional Commissioner, Internal Revenue Service, 2 Penn Center Plaza, Philadelphia, Pennsylvania 19102.

Regional Inspector, Internal Revenue Service, 1315 Walnut Street, Room 300, Philadelphia, Pennsylvania 19107.

District Director, Internal Revenue Service, Federal Building, 31 Hopkins Plaza, Baltimore, Maryland 21201.

District Director, Internal Revenue Service, 970 Broad Street, Newark, New Jersey 07102.

District Director, Internal Revenue Service, 600 Arch Street, Philadelphia, Pennsylvania 19108.

District Director, Internal Revenue Service, 1000 Liberty Avenue, Pittsburgh, Pennsylvania 15222.

District Director, Internal Revenue Service, 400 North 8th Street, Richmond, Virginia 23240.

District Director, Internal Revenue Service, 800 Delaware Avenue, Wilmington, Delaware 19801.

Director, Internal Revenue Service Center, Mid-Atlantic Region, 11601 Roosevelt Boulevard, Philadelphia, Pennsylvania 19155.

Midwest Region:

Regional Commissioner, Internal Revenue Service, 1 Wacker Drive, Chicago, Illinois 60606.

Regional Inspector, Internal Revenue Service, Suite 646, 35 East Wacker Drive, Chicago, Illinois 60601.

District Director, Internal Revenue Service, 640—9th Avenue, S.W., Aberdeen, South Dakota 57401.

District Director, Internal Revenue Service, 17 N. Dearborn Street, Chicago, Illinois 60602.

District Director, Internal Revenue Service, Federal Building, 210 Walnut Street, Des Moines, Iowa 50309.

District Director, Internal Revenue Service, Federal Building & Post Office, 653 Second Avenue, North, Fargo, North Dakota 58102.
 District Director, Internal Revenue Service, 517 East Wisconsin Avenue, Milwaukee, Wisconsin 53202.
 District Director, Internal Revenue Service Federal Office Building, 106 South 15th Street, Omaha, Nebraska 68102.
 District Director, Internal Revenue Service, U.S. Court and Custom House, 1114 Market Street, St. Louis, Missouri 63101.
 District Director, Internal Revenue Service, Federal Building and Court House, 316 North Robert Street, St. Paul, Minnesota 55101.
 District Director, Internal Revenue Service, 325 West Adams, Springfield, Illinois 62704.
 Director, Internal Revenue Service Center, Midwest Region, 2306 East Bannister Road, Kansas City, Missouri 64170.

North-Atlantic Region:

Regional Commissioner, Internal Revenue Service, 90 Church Street, New York, New York 10007.
 Regional Inspector, Internal Revenue Service, 26 Federal Plaza (14th Floor), New York, New York 10007.
 District Director, Internal Revenue Service, 68 Sewall Street, Augusta, Maine 04330.
 District Director, Internal Revenue Service, John F. Kennedy Federal Building, Government Center, Boston, Massachusetts 02203.
 District Director, Internal Revenue Service, 855 Central Avenue, Albany, New York 12206.
 District Director, Internal Revenue Service, 120 Church Street, New York, New York 10007.
 District Director, Internal Revenue Service, 35 Tillary Street, Brooklyn, New York 11201.
 District Director, Internal Revenue Service, 111 W. Huron Street, Buffalo, New York 14202.
 District Director, Internal Revenue Service, 11 Elmwood Avenue, Burlington, Vermont 05401.
 District Director, Internal Revenue Service, 450 Main Street, Hartford, Connecticut 06103.
 District Director, Internal Revenue Service, Federal Building, 80 Daniel Street, Portsmouth, New Hampshire 03801.
 District Director, Internal Revenue Service, 130 Broadway, Providence, Rhode Island 02903.
 Director, Internal Revenue Service Center, North-Atlantic Region, 310 Lowell Street, Andover, Massachusetts 01812.
 Director, Internal Revenue Service Center, North-Atlantic Region, 1040 Waverly Avenue, Holtsville, New York 11799.

Southeast Region:

Regional Commissioner, Internal Revenue Service, 275 Peachtree Street, N.E., Atlanta, Georgia 30303.
 Regional Inspector, Internal Revenue Service, 4th Floor, CWC Building, 221 Courtland Street, N.E., Atlanta, Georgia 30303.
 District Director, Internal Revenue Service, 275 Peachtree Street, N.E., Atlanta, Georgia 30303.
 District Director, Internal Revenue Service, 2121—8th Avenue, North, Birmingham, Alabama 35203.
 District Director, Internal Revenue Service, 901 Sumter Street, Columbia, South Carolina 29201.
 District Director, Internal Revenue Service, 320 Federal Place, Greensboro, North Carolina 27401.
 District Director, Internal Revenue Service, 301 North Lamar Street, Jackson, Mississippi 39202.
 District Director, Internal Revenue Service, Federal Office Building, 400 West Bay Street, Jacksonville, Florida 32202.
 District Director, Internal Revenue Service, 801 Broadway, Nashville, Tennessee 37203.
 Director, Internal Revenue Service Center, Southeast Region, 4800 Buford Highway, Chamblee, Georgia 30006.
 Director, Internal Revenue Service Center, Southeast Region, 3131 Democrat Road, Memphis, Tennessee 38110.

Southwest Region:

Regional Commissioner, Internal Revenue Service, 1114 Commerce Street, Dallas, Texas 75202.
 Regional Inspector, Internal Revenue Service, 7839 Churchill Way, Dallas, Texas 75251.
 District Director, Internal Revenue Service, 517 Gold Avenue, S.W., Albuquerque, New Mexico 87101.
 District Director, Internal Revenue Service, 300 E. 8th Street, Austin, Texas 78701.
 District Director, Internal Revenue Service, 21st and Carey Avenue, Cheyenne, Wyoming 82001.

District Director, Internal Revenue Service, 1100 Commerce Street, Dallas, Texas 75202.
 District Director, Internal Revenue Service, 1050 17th Street, Denver, Colorado 80202.
 District Director, Internal Revenue Service, 700 W. Capitol, Little Rock, Arkansas 72203.
 District Director, Internal Revenue Service, 600 South Street, New Orleans, Louisiana 70130.
 District Director, Internal Revenue Service, 200 N.W. 4th Street, Oklahoma City, Oklahoma 73102.
 District Director, Internal Revenue Service, 412 S. Main Street, Wichita, Kansas 67202.
 Director, Internal Revenue Service Center, Southwest Region, 3651 S. Interregional Highway, Austin, Texas 78740.

Western Region:

Regional Commissioner, Internal Revenue Service, 870 Market Street, San Francisco, California 94102.
 Regional Inspector, Internal Revenue Service, 160 Pine Street, Suite 500, San Francisco, California 94111.
 District Director, Internal Revenue Service, 540 5th Avenue, Anchorage, Alaska 99510.
 District Director, Internal Revenue Service, P.O. Box 041, 550 West Fort Street, Boise, Idaho 83724.
 District Director, Internal Revenue Service, 209 Federal Building, Helena, Montana 59601.
 District Director, Internal Revenue Service, Federal Building, Honolulu, Hawaii 96813.
 District Director, Internal Revenue Service, 300 N. Los Angeles Street, Los Angeles, California 90012.
 District Director, Internal Revenue Service, 230 N. 1st Avenue, Phoenix, Arizona 85025.
 District Director, Internal Revenue Service, 319 S.W. Pine Street, Portland, Oregon 97204.
 District Director, Internal Revenue Service, 300 Booth Street, Reno, Nevada 89502.
 District Director, Internal Revenue Service, U.S. Post Office and Courthouse, Salt Lake City, Utah 84110.
 District Director, Internal Revenue Service, 450 Golden Gate Avenue, San Francisco, California 94102.
 District Director, Internal Revenue Service, 6th & Lenora Building, Seattle, Washington 98121.
 Director, Internal Revenue Service Center, Western Region, 1160 W. 1200 South Street, Ogden, Utah 84201.
 Director, Internal Revenue Service Center, Western Region, 5045 East Butler Avenue, Fresno, California 93730.

ADDRESSES OF CHIEF COUNSEL AND REGIONAL COUNSEL OFFICES

National Office

Administrative Services Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.
 Criminal Tax Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.
 Disclosure Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.
 General Legal Services Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.
 General Litigation Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.
 Interpretative Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.
 Legislation and Regulations Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.
 Refund Litigation Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.
 Tax Court Litigation Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.
 Chief Counsel, Associate Chief Counsels, or Assistant Chief Counsel, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224.

Regional Counsel Offices

North-Atlantic Region
 Regional Counsel Office

Regional Counsel's Office, IRS, North-Atlantic Region, 26 Federal Plaza, 12th Floor, New York, New York 10007.

Branch Regional Counsel Offices

Regional Counsel's Office, IRS, 100 Summer St., 17th Floor, Boston, Massachusetts 02109.

Regional Counsel's Office, IRS, 304 U.S. Court House, Niagara Square, Buffalo, New York 14202.

Mid-Atlantic Region

Regional Counsel Office

Regional Counsel's Office, IRS, Mid-Atlantic Region, Room 464, 2 Penn Center Plaza, Philadelphia, Pennsylvania 19102.

Branch Regional Counsel Offices

Regional Counsel's Office, IRS, Room 1117 Federal Building, 31 Hopkins Plaza, Baltimore, Maryland 21201.

Regional Counsel's Office, IRS, Ninth Floor, 970 Broad Street, Newark, New Jersey 07102.

Regional Counsel's Office, IRS, Federal Building, Room 726, 100 Liberty Ave., Pittsburgh, Pennsylvania 15222.

Regional Counsel's Office, IRS, 2018 Federal Building, 8th and Marshall Streets, Richmond, Virginia 23240.

Regional Counsel's Office, IRS, Room 422, Universal Building, North, 1875 Connecticut Avenue, N.W., Washington, D.C. 20009.

Southeast Region

Regional Counsel Office

Regional Counsel's Office, IRS, Southeast Region, Federal Office Building, 275 Peachtree St., N.E., Atlanta, Georgia 30303; Mailing Address: P.O. Box 1074, Atlanta, Georgia 30301.

Branch Regional Counsel Offices

Regional Counsel's Office, IRS, Room 1624, 2121—8th Avenue, North, Birmingham, Alabama 35203.

Regional Counsel's Office, IRS, Room 509, 320 Federal Place, Greensboro, North Carolina 27401.

Regional Counsel's Office, IRS, Box 35027 Federal Building, 400 West Bay Street, Jacksonville, Florida 32202.

Regional Counsel's Office, IRS, Room 1502, Federal Office Building, 51 SW First Avenue, Miami, Florida 33130.

Regional Counsel's Office, IRS, 703 U.S. Court House Building, 801 Broadway, Nashville, Tennessee 37203.

Central Region

Regional Counsel Office

Regional Counsel's Office, IRS, Central Region, 7510 Federal Office Building, 500 Main Street, Cincinnati, Ohio 45202; Mailing Address: P.O. Box 2059, Cincinnati, Ohio 45201.

Branch Regional Counsel Offices

Regional Counsel's Office, IRS, 1620 Williamson Building, 215 Euclid Avenue, Cleveland, Ohio 44114.

Regional Counsel's Office, IRS, 2300 Cadillac Tower Building, Detroit, Michigan 48226.

Regional Counsel's Office, IRS, 508 New Federal Building, 575 North Pennsylvania St., Indianapolis, Indiana 46204.

Regional Counsel's Office, IRS, 579 Federal Office Building, Louisville, Kentucky 40202.

Midwest Region

Regional Counsel Office

Regional Counsel's Office, IRS, Midwest Region, 22d Floor South, Everett McKinley Dirksen Building, 219 S. Dearborn St., Chicago, Illinois 60604.

Branch Regional Counsel Offices

Regional Counsel's Office, IRS, 2700 Federal Office Building, 911 Walnut Street, Kansas City, Missouri 64106.

Regional Counsel's Office, IRS, Sixth Floor, Continental Plaza, 735 West Wisconsin Avenue, Milwaukee, Wisconsin 53233.

Regional Counsel's Office, IRS, 215 North 17th Street, Room 3101, U.S. Post Office & Court House, Omaha, Nebraska 68102.

Regional Counsel's Office, IRS, 935 U.S. Court & Custom House, 1114 Market Street, St. Louis, Missouri 63101.

Regional Counsel's Office, IRS, Room 572, Federal Building & U.S. Court House, 140 East Fourth Street, St. Paul, Minnesota 55101.

Southwest Region

Regional Counsel Office

Regional Counsel's Office, IRS, Southwest Region, Room 12D27, Earle Cabell Federal Building, U.S. Courthouse, 1100 Commerce Street, Dallas, Texas 75202.

Branch Regional Counsel Offices

Regional Counsel's Office, IRS, 20th Floor, 1050—17th Street, Denver, Colorado 80202.

Regional Counsel's Office, IRS, Room 8102, 515 Rusk Avenue, Houston, Texas 77002.

Regional Counsel's Office, IRS, Room 845, Federal Office Building, 600 South Street, New Orleans, Louisiana 70130.

Regional Counsel's Office, 220 Northwest 4th Street, Courthouse & Federal Office Bldg., Oklahoma City, Oklahoma 73102.

Western Region

Regional Counsel Office

Regional Counsel's Office, IRS, Western Region, Two Embarcadero Center, Suite 900, San Francisco, California 94111.

Branch Regional Counsel Offices

Regional Counsel's Office, IRS, 3018 Federal Building, 300 North Los Angeles Street, Los Angeles, California 90012.

Regional Counsel's Office, IRS, 810 Crown Plaza, 1500 S.W. First Avenue, Portland, Oregon 97201.

Regional Counsel's Office, IRS, Security Center Building, Suite 1214, 222 North Central Avenue, Phoenix, Arizona 85004.

Regional Counsel's Office, IRS, Room 2710, Federal Building, 915 Second Avenue, Seattle, Washington 98174.

Regional Counsel's Office, 3438 Federal Building, 125 South State Street, Salt Lake City, Utah 84111.

Treasury/Customs 00.001

System name: Acceptable Level of Competence, Negative Determination—Treasury/Customs.

System location: Personnel Management Division, U.S. Customs Service, Region I, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Categories of individuals covered by the system: Any employee of U.S. Customs Service Region I, who receives a negative determination regarding acceptable level of competence.

Categories of records in the system: Employee's name, social security number, position description, grade, and correspondence containing specific reasons for negative determination.

Authority for maintenance of the system: Five U.S.C. 301; Reorganization Plan No. 1 or 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; such uses include general reference to the records by supervisors when considering appropriate actions to take with regard to the individuals; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in file folders and stored in locked file cabinets.

Retrievability: The records are filed by the individual's name.

Safeguards: Direct access is limited to the Director and five employees of the Personnel Division. In addition to being stored in locked cabinets, the area in which these records are stored is locked during non-duty hours and the building is guarded by uniformed security police.

Retention and disposal: Records are retained until the employee leaves the Customs Service.

System manager(s) and address: Director, Personnel Management Division, U.S. Customs Service, Region I, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Contesting record procedures: See Access above.

Record source categories: Information is furnished by the employee, employee's supervisor and the Federal Employee Appeals Authority.

Treasury/Customs 00.002

System name: Accident Reports—Treasury/Customs.

System location: Logistics Management Division, Region IV, 7370 N.W. 36th Street, Suite No. 300, Miami, Florida 33166.

Categories of individuals covered by the system: Any employee of Region IV who has had an accident on Government property or in an official vehicle since 1973.

Categories of records in the system: Standard Government forms dealing with accidents and personal injuries.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Executive Order 11807 and Section 19 of Occupational Health & Safety Act of 1970.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Files are made available to Headquarters for accumulation of statistics; (d) Each record of automobile accidents is turned over to Regional Counsel for determination of tort claims, liability by Federal Government or other party, etc.; (e) Available for personnel actions, if needed; (f) Disclosure to employee's beneficiary in event of death following the accident or injury or to employee's agent in case of disability.

For additional routine uses see Appendix AA.

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

Storage: Each case folder is maintained in an unlocked drawer in chronological order by date.

Retrievability: Each case is identified by employee name and date of accident.

Safeguards: The metal container described above is maintained within the area assigned to the Logistics Management Division within the Region IV Headquarters Building. During non-working hours the room in which the metal container is located is locked.

Retention and disposal: Accident Record files are retained in accordance with the Records Disposal Manual.

System manager(s) and address: Director, Logistics Management Division, Region IV, Headquarters, 7370 N.W. 36th Street, Suite No. 300, Miami, Florida 33166.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner, Region IV, U.S. Customs Service, 7370 N.W. 36th Street, Miami, Florida 33166. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner, Region IV, U.S. Customs Service, 7370 N.W. 36th Street, Miami, Florida 33166. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine of up to five thousand dollars.

Contesting record procedures: See Access above.

Record source categories: Information originates with employees who have been injured and/or have been involved in accidents during the exercise of their official duties. Also included are witness reports and statements, the employees' supervisors' statements and doctors' reports.

federal register

BOOK 2 OF 2 BOOKS
TUESDAY, DECEMBER 2, 1975



PART III (Section 2):

DEPARTMENT OF THE TREASURY



PRIVACY ACT OF 1974

Notice of Systems of Records

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DEPARTMENT OF THE ARMY

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DEPARTMENT OF THE ARMY

Treasury/Customs 00.003

System name: Accident Reports—Treasury/Customs.

System location: Each Regional Commissioner Office (See Customs Appendix A).

Categories of individuals covered by the system: Employees of Customs Region V injured on-the-job.

Categories of records in the system: Information furnished by employee and his/her supervisor regarding facts relating to accidents or injuries involving the employee. Sometimes includes doctor's statements and witnesses' statements. Includes log sheet kept in order of arrival during calendar year.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the U.S. Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Files are made available to Headquarters for accumulation of statistics; (d) Each record of automobile accidents is turned over to Regional Counsel for determination of tort claims, liability of Federal Government or other party, etc.; (e) Available for personnel actions, if needed; (f) Disclosure to employee's beneficiary in event of death following the accident or injury or to employee's agent in case of disability.

For additional routine uses see Appendix AA.

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

Storage: Locked file cabinet.

Retrievability: Alphabetically by name.

Safeguards: Locked file cabinet.

Retention and disposal: In accordance with the Records Control Manual.

System manager(s) and address: Each Director, Logistics Management Division, each Customs Region (See Customs Appendix A for addresses).

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified of how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information obtained from person filing the report as well as witness's reports and statements, the employees' supervisors' statements and doctors' reports.

Treasury/Customs 00.004

System name: Accident and Injury Report File—Treasury/Customs.

System location: Logistics Management Division, U.S. Customs Service, 450 Golden Gate Avenue, San Francisco, California 94102.

Categories of individuals covered by the system: Present and past employees.

Categories of records in the system: Information furnished by employee and his/her supervisor regarding facts relating to accidents or injuries involving the employee. Sometimes includes doctor's statements and witnesses' statements. Includes log sheet kept in order of arrival during calendar year.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; 5 U.S.C. 8101-8150, 8191-8193.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the U.S. Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Files are made available to Headquarters for accumulation of statistics; (d) Each record of automobile accidents is turned over to Regional Counsel for determination of tort claims, liability by Federal Government or other party, etc.; (e) Available for personnel actions, if needed; (f) Disclosure to employee's beneficiary in event of death following the accident or injury or to employee's agent in case of disability.

For additional routine uses see Appendix AA.

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

Storage: Each case folder is maintained in a lockable filing cabinet.

Retrievability: The file for each employee is placed according to when it is received during the calendar year. The name of the employee is shown on an index sheet on top of the file.

Safeguards: The files are contained within a lockable file cabinet within an office which is locked during non-working hours.

Retention and disposal: Active files are retained indefinitely. Files of deceased, retired, etc., employees are forwarded to U.S. Customs Region VIII Personnel Division for inclusion within the person's official personnel folder.

System manager(s) and address: Logistics Management Specialist, Logistics Management Division, U.S. Customs Service, Room 2057, 450 Golden Gate Avenue, San Francisco, California 94102.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Contesting record procedures: See Access above.

Record source categories: The information in this system originates with employees who have been injured and/or have been involved in accidents during the exercise of their official duties. Also included are witness reports and statements, the employees' supervisors' statements and doctor's reports.

Treasury/Customs 00.269

System name: Accounts Payable Voucher File—Treasury/Customs.

System location: Financial Management Division, U.S. Customs Service, Region V, 701 Loyola Avenue, New Orleans, Louisiana 70113.

Categories of individuals covered by the system: All Region V personnel to whom travel and other disbursements are made. All individuals who provide goods and services to Region V.

Categories of records in the system: Invoices and travel/other vouchers and supporting disbursements schedules.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Used to substantiate disbursements made; (b) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (c) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Treasury Appendix AA.

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

Storage: File folders in unlocked file cabinets.

Retrievability: By name.

Safeguards: Usage limited to Regional personnel; cabinets are located in rooms which are locked during non-working hours.

Retention and disposal: In accordance with Records Control Manual; records are disposed of when no longer needed.

System manager(s) and address: Director, Financial Management Division, U.S. Customs Service, Region V, 701 Loyola Avenue, New Orleans, Louisiana 70113.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A). The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A). The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Invoices and travel/other vouchers submitted by the individual.

Treasury/Customs 00.005

System name: Accounts Receivable Correspondence and Follow-Up—Treasury/Customs.

System location: Financial Management Division, U.S. Customs Service, Region I, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Categories of individuals covered by the system: Persons owing money for Customs duties and services and money owed to persons for overpayment of excessive duties and services.

Categories of records in the system: Correspondence and documentation of telephone calls with debtors and creditors or their representatives.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the

system of records may be referred, as a routine use, to the appropriate agency whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) This system is used by the personnel of the Financial Management Division to effect collections or refund overpayments for duties and services.

For additional routine uses see Appendix AA.

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

Storage: Data is stored in file folders which are contained in an unlocked metal file cabinet.

Retrievability: The file is retrieved by the name of the individual which is kept in alphabetical order within the work area of the Collection Section.

Safeguards: The files are located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted entry to the building.

Retention and disposal: The file is retained until collection or refund is effected and 2 years thereafter, then destroyed.

System manager(s) and address: Director, Financial Management Division, U.S. Customs Service, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in the system is obtained from data gathered from the automated billing system and ports of entry.

Treasury/Customs 00.006

System name: Accounts Receivable—Treasury/Customs.

System location: Financial Management Division—District and ports, 7370 N.W. 36th Street, Miami, Florida 33166.

Categories of individuals covered by the system: Importers and Brokers, Corporate and Individuals.

Categories of records in the system: Names, Entry Number, Amounts Due (Reimb) Names, Importer Number, Amounts Due.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used by Revenue Accounting Personnel to ascertain receivables and to determine appropriate follow up action to affect collection.

For additional routine uses see Appendix AA.

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

Storage: Files are maintained in an unlocked drawer within a metal file cabinet.

Retrievability: Monthly hard copy printout, by bill category, alphabetized within.

Safeguards: The metal container described above is maintained within the area assigned to the Financial Management Division within the Customs Service Building. During non-working hours the room in which the metal container is located is locked.

Retention and disposal: These files are retained as prescribed by Regulations or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Director of Financial Management, 7370 N.W. 36th Street, Miami, Florida 33166.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing, and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting

identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Headquarters Data Center.

Treasury/Customs 00.007

System name: Accounts Receivable—Treasury/Customs.

System location: U.S. Customs Service, Financial Management Division, Increase and Refund Section, 6 WTC, New York, N.Y. 10048.

Categories of individuals covered by the system: File on individuals and corporations that owe the Customs Service money.

Categories of records in the system: Each file lists name of debtor, address, its liquidated and unliquidated entries, and notices sent out regarding debtors to all branches of Customs Service.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) To expedite collection of money and to hold refunds.

For additional routine uses see Appendix AA.

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

Storage: Stored in cabinets.

Retrievability: Rolex file maintained alphabetically refers to all cases.

Safeguards: Office locked.

Retention and disposal: Retained until case is closed and then destroyed.

System manager(s) and address: Regional Commissioner of Customs, U.S. Customs Service, 6 World Trade Center, New York, N.Y. 10048.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present

adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Newspapers, Regional Counsel, Customhouse Brokers.

Treasury/Customs 00.008

System name: Accounts Receivable Files—Treasury/Customs.

System location: Financial Management Division, U.S. Customs Service, Region V, 701 Loyola Avenue, New Orleans, Louisiana 70113.

Categories of individuals covered by the system: All individuals incurring Customs obligations (duties, taxes, fines, and penalties).

Categories of records in the system: Customs bills and related supporting documentation and correspondence.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Used to determine collection status of individual obligations for processing of collection actions; (b) Disclosures to those officers and employees of Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (c) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Unlocked file cabinets.

Retrievability: By bill number. Can be identified to individual by referring to alphabetical listing on monthly aged accounts receivable report.

Safeguards: Usage limited to Regional personnel. Files located in office which is locked during non-working hours.

Retention and disposal: Records are retained indefinitely.

System manager(s) and address: See "Location" above.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: All individuals incurring Customs obligations.

Treasury/Customs 00.009

System name: Acting Customs Inspector
(Excepted)—Treasury/Customs.

System location: Personnel Management Division, Regional Commissioner of Customs, 55 East Monroe Street, Suite 1501, Chicago, Illinois 60603, and Offices of the District Directors, Region IX, Chicago, Illinois.

Categories of individuals covered by the system: Employees or members of other Federal agencies who are designated by the District Directors as Customs Inspectors (Excepted).

Categories of records in the system: System has name, social security number, rank or grade and duty station of the individual.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used by Personnel Management Specialists and managers as a control and for statistical purposes.

For additional routine uses see Appendix AA.

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

Storage: CF 55 forms kept in manila folders in file cabinet.

Retrievability: Filed alphabetically.

Safeguards: During non-working hours the offices and/or buildings in which records are located are locked.

Retention and disposal: Until individual transfers or designation is cancelled. Form is then destroyed.

System manager(s) and address: Director, Personnel Management Division.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information is supplied by the individual and his or her agency.

Treasury/Customs 00.010

System name: Acting Customs Inspectors
(Excepted)—Treasury/Customs.

System location: Inspection and Control Division, U.S. Customs Service, Region VI, 500 Dallas St., Suite 1240, Houston, Texas 77002.

Categories of individuals covered by the system: Those employees of other agencies (including military) within Region VI designated as Customs Inspectors.

Categories of records in the system: The name of individual, location, social security number, rank or grade, position and agency and date of designation.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; such uses would include general reference to the files by supervisors for personnel and statistical purposes; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Each sheet is inserted in a folder which is filed in an unlocked metal file cabinet.

Retrievability: Each sheet is identified by the name of the designee.

Safeguards: The metal cabinet is located within an office that is locked during non-working hours. The building is guarded by uniformed security police, and only authorized persons are permitted in the building.

Retention and disposal: Active sheets are maintained in the file indefinitely. However, the system is reviewed every six months and outdated sheets are discarded.

System manager(s) and address: Director, Inspection and Control Division, U.S. Customs Service, Region VI, 500 Dallas, Suite 1240, Houston, Texas 77002.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Copy of action designating the individual from the District Directors.

Treasury/Customs 00.011

System name: Acting Customs Inspectors
(Excepted)—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif.; Offices of the Port Directors, San Ysidro, Calif.; Tecate, Calif.; Calexico, Calif.; Andrade, Calif.; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif.; San Ysidro, Calif.; Calexico, Calif.; Tecate, Calif.; see Customs Appendix A.

Categories of individuals covered by the system: All individuals of other Federal agencies who have been cross-designated as Acting Customs Inspectors (Excepted).

Categories of records in the system: Name, date of birth, social security number, duty location, GS-level and training statement from Customs Officer.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended and the Customs Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure of those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; such uses would include general reference to the files by supervisors for personnel and statistical purposes; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Maintain a list of those employees of other agencies who have met the minimum requirements of Acting Customs Inspectors and record of training for such designation. Maintain minimum requirements for primary and secondary inspection programs, policies, procedures, etc.

For additional routine uses see Appendix AA.

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

Storage: Paper in manila folder in a file cabinet.

Retrievability: By name of individual and duty station.

Safeguards: Locked file cabinets, buildings locked during non-working hours.

Retention and disposal: Indefinitely or until rescinded.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District, according to the list that is attached as Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071—Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071—Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Customs Officers, employees, and officers of other Governmental agencies.

Treasury/Customs 00.012

System name:	Acting	Customs	Officer
(Excepted)—Treasury/Customs.			

System location: In the office of all District Directors in Region IX, Chicago, Illinois. (See Customs Appendix A).

Categories of individuals covered by the system: Employees of other Government agencies who have been designated to act as Customs officers excepted.

Categories of records in the system: Names, social security numbers, rank or grade, Customs designation, position and agency or service, duty stations, and effective date. Customs Form 55.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; such uses would include general reference to files by supervisors for personnel and statistical purposes; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Records are kept in file folders in open file cabinets.

Retrievability: These forms are maintained in alphabetical order by name of employee.

Safeguards: The file cabinet is maintained in the offices or areas assigned to the District Directors. During non-working hours the room and/or building in which the cabinet is located is locked.

Retention and disposal: Retention period is indefinite or until canceled by reason of transfer or retirement.

System manager(s) and address: All District Directors, as appropriate, in Region IX, Chicago, Illinois. (See Customs Appendix A.)

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Requests for designation by the agencies involved and memoranda certifying completion of training.

Treasury/Customs 00.013

System name:	Acting	Customs	Officer
(Excepted)—Treasury/Customs.			

System location: U.S. Customhouse, P.O. Box 111, District Director's Office, St. Albans, Vermont 05478.

Categories of individuals covered by the system: Present employees of other agencies designated as Customs Officers (Excepted).

Categories of records in the system: Name, social security number, rank or grade, Customs designation, position and agency or service, duty station.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; such uses would include general reference to the files by supervisors for personnel and statistical purposes; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: In file folders stored in filing cabinet.

Retrievability: Alphabetically; by name.

Safeguards: These records are filed at the District Director's office under the supervision of District Director's secretary during working hours. The office is locked during non-working hours.

Retention and disposal: Retention period is indefinite or until canceled by reason of transfer or retirement.

System manager(s) and address: District Director, U.S. Customs Service, St. Albans, Vermont 05478.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information is furnished by the individual employee and his agency.

Treasury/Customs 00.014

System name: Advice Requests (Legal) (Region VIII)—Treasury/Customs.

System location: Office of the Regional Counsel—15th Floor, Federal Building, 450 Golden Gate Avenue, San Francisco, CA 94102.

Categories of individuals covered by the system: Individuals who are the subject of any request for legal advice by another office within Customs, another Government agency, or the private individual himself. An example would be a request by a District Director for advice as to whether or not a violation of a Customs law for which a penalty may be assessed has occurred.

Categories of records in the system: Intra-agency or inter-agency memoranda and reports of investigation and other documents submitted by the requesting office for use in handling the request. Correspondence from the private individual submitting the request.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; Reorganization Plan No. 1 of 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Information contained in the files is used in handling the request for advice and in preparing a response to the request; (d) Information contained in the files may be used internally by the Regional Counsel and members of his staff insofar as it relates to precedent or guidelines for their handling of future cases.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal file cabinet.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the individual who is the subject of the request and in the alphabetical file folder within the metal file cabinet by the name of the individual who is the subject of the request.

Safeguards: The metal file cabinet described above is maintained within the area assigned to the Office of the Regional Counsel within the Federal Building. During non-working hours the room in which the metal file cabinet is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: Request for legal advice files are retained indefinitely or until there is no longer any space available for them within the metal file cabinet, at which time some files may be transferred to the Federal Record Center.

System manager(s) and address: Regional Counsel, Room 15001, Federal Building, 450 Golden Gate Avenue, San Francisco, CA 94102.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20029. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: Information which may concern the subject individual is sourced in the memoranda or correspondence from the office or individual requesting the advice and in any supporting documents that office or individual may transmit.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.015

System name: Aircraft and Yacht Arrival
Notice—Treasury/Customs

System location: Located in the Office of the District Director, San Diego, Calif.; Offices of the Port Directors, San Ysidro, Calif.; Tecate, Calif.; Calexico, Calif.; Andrade, Calif.; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif.; San Ysidro, Calif.; Calexico, Calif.; Tecate, Calif.; see Customs Appendix A.

Categories of individuals covered by the system: File contains information relating to all individuals arriving from foreign countries via private aircraft or private yacht.

Categories of records in the system: Name, address, date of birth, SS number, pilot's lic. number, master's lic. number, itinerary of vessel at last port (foreign), value of foreign purchases, number of pieces of luggage in the conveyance, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended and the Customs Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure of those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation

or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee; the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Maintain file on all individuals arriving from foreign countries via private aircraft or private yacht for regulatory and enforcement purposes.

For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Date, vessel's name, or aircraft reg. number.

Safeguards: Buildings are locked during non-working hours.

Retention and disposal: Destroyed after 3 years.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071—Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20029. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071—Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20029. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Individuals arriving from foreign countries; masters or pilots of private aircraft or private yachts.

Treasury/Customs 00.016

System name: Aircraft Ownership File—Treasury/Customs

System location: U.S. Customs Air Support Branch, PM-TUM, Homestead Air Force Base, Homestead, Florida 33030.

Categories of individuals covered by the system: Persons, partnerships, or corporations who are the registered owners of record of U.S. aircrafts.

Categories of records in the system: This file contains the name and address of the registered owner of the aircraft; the registration number, category and type of aircraft; and an indication of whether or not the aircraft is on record with the TECS system.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; such uses would include general reference to the records by Customs Officers to determine whether certain aircraft are in the TECS system and in enforcing laws and regulations relating to aircraft entering and leaving the United States; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charges with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: The information files are numerically filed in a looseleaf container within a security area.

Retrievability: The information is in the form of Micro-film and is retrieved by means of an Alpha-numerical code identifier.

Safeguards: The information files are located within an office which is locked during non-working hours. The building is guarded by U.S. Air Force Military Police and only authorized persons are permitted in the building.

Retention and disposal: These files are maintained for a period of three months at which time they are replaced with current information. The old files are then destroyed under Customs supervision.

System manager(s) and address: Chief, Air Support Branch, U.S. Customs, PM-TUM, Homestead Air Force Base, Homestead, Florida 33030.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.017

System name: Aircraft Registers—Treasury/Customs.

System location: U.S. Customs Service, Office of Investigations, Region V, RDI, 2900 Plaza Tower Building, New Orleans, La. 70113; RA, 1719 West End Building, Rm. 303, Nashville, Tennessee 37203.

Categories of individuals covered by the system: Owners and co-owners of U.S. registered aircraft.

Categories of records in the system: Name indices of owners of U.S. registered aircraft and indices of co-owners of U.S. registered aircraft indexed by aircraft registration number.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; such uses would include general reference to the records by Customs Officers to determine whether certain aircraft are in the TECS system and in enforcing laws and regulations relating to aircraft entering and leaving the United States; (b) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Information contained in these microfiche files is provided for the routine use of the Office of Investigations of the Customs Service for the purpose of verifying information received from other sources in conjunction with investigations within the Office of Investigations.

For additional routine uses see Appendix AA.

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

Storage: This microfiche is maintained in a file folder in a metal cabinet. The cabinet is located in a room which is manned during normal office hours, and locked after hours.

Retrievability: This microfiche file is identified by alphabetical name of the categories of individuals maintained in that file and information is retrievable manually from these files.

Safeguards: These microfiche files are kept in a metal cabinet and are maintained within the room which is manned by Office of Investigations personnel during normal office hours. During non-working hours, the room in which the metal cabinet is located is locked and entrances to the office which contains that room are locked. Access to the building containing the office is controlled during non-working hours by a uniformed guard.

Retention and disposal: These files are retained indefinitely or until updated by more current records at which time the old records are disposed of by shredding.

System manager(s) and address: Regional Director, Investigations, U.S. Customs Service, Office of Investigations, 2900 Plaza Tower Building, New Orleans, La. 70113; Resident Agent, U.S. Customs Service, Office of Investigations, 1719 West End Building, Rm. 303, Nashville, Tenn. 37203.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.018

System name: Aircraft Sanctioned List—Treasury/Customs.

System location: All ports and Regional Headquarters in Region VI, U.S. Customs Service, 500 Dallas St., Suite 1280, Houston, Texas 77002.

Categories of individuals covered by the system: Private aircraft owners and/or operators entering Region VI ports from a foreign country.

Categories of records in the system: Listed by name, address, port of service, bill number, and dollar amount of delinquent receivables.

Authority for maintenance of the system: Public Law 89-508, the "Federal Claims Collection Act of 1966," 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Provide ready reference to officers and employees of the U.S. Customs Service in Region VI of parties-in-interest with past due accounts; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties.

For additional routine uses see Appendix AA.

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

Storage: List is maintained in file folder at work site.

Retrievability: Alphabetical order by name.

Safeguards: The list is placed in locked cabinet during non-working hours. The building is guarded by uniformed security police.

Retention and disposal: Quarterly an updated list is issued and the prior list is destroyed by shredding.

System manager(s) and address: Director, Financial Management Division, 500 Dallas St., Suite 1265, Houston, Texas 77002.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (See Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (See Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Confesting record procedures: See Access above.

Record source categories: The source of information for the listing is obtained from a suspension file purged from the automated system of Aged Accounts Receivable.

Treasury/Customs 00.019

System name: Applicants File—Treasury/Customs

System location: Office of Assistant Chief Counsel, Customs Court Litigation, Second Floor, 26 Federal Plaza, New York, New York 10007.

Categories of individuals covered by the system: Persons who have applied to, or expressed interest in employment with, the Office of Assistant Chief Counsel.

Categories of records in the system: Materials forwarded by applicants, including letters, resumes, Civil Service Commission Forms 171, and writing samples; Customs letters to applicants and informal assessment sheets prepared after interviews; correspondence with law school placement offices.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Information contained in these files is routinely used in assessing applicants for legal positions in this office, when such positions are available.

For additional routine uses see Appendix AA.

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

Storage: Materials in these files are kept in order of date received in an unlocked drawer within a wood file cabinet.

Retrievability: In view of the small number of these files no special retrieval system has been maintained beyond retrieval from the file itself by the individual's name.

Safeguards: The wood file cabinet described above is maintained within the area assigned to the Office of the Chief Counsel within the Federal Building. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer any space available for them within the wood container, at which time the oldest files are transferred to the Federal Record Center.

System manager(s) and address: Assistant Chief Counsel, Customs Court Litigation, Second Floor, 26 Federal Plaza, New York, New York 10007.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those

in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in these files originates with the receipt of letters and/or applications from applicants for legal positions with the Office of the Assistant Chief Counsel, or resumes forwarded directly by law school placement offices.

Treasury/Customs 00.020

System name: Applicant Supply File—Treasury/Customs

System location: Located in the Personnel Management Division of each region and Headquarters according to list in Customs Appendix A.

Categories of individuals covered by the system: Records are maintained on all applicants for Customs Positions, as provided for in FPM Chapter 333.

Categories of records in the system: The Applicant Supply File contains the applications (SF-171's) and copies of any notices of rating or appraisals submitted in accordance with provisions of FPM Chapter 333.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Records contained in the system are used for making temporary and term appointments outside the Civil Service registers. (Ref. FPM Chapter 333).

For additional routine uses see Appendix AA.

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

Storage: Records are stored in manila folders.

Retrievability: Records are indexed by name.

Safeguards: Records are maintained in locked file.

Retention and disposal: Records are maintained in accordance with FPM Chapter 333 and Customs Appendix A.

System manager(s) and address: Director, Personnel Management Division, in each region and Headquarters. (See Customs Appendix A).

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Applications are accepted from all persons who wish to be considered and who qualify for Customs positions, in accordance with FPM Chapter 333.

Treasury/Customs 00.021

System name: Arrest/Seizure/Search Report and Notice of Penalty File—Treasury/Customs.

System location: Office of the District Director of Customs, Room 228, United States Customs Service, 335 Merchant Street, Honolulu, Hawaii 96813.

Categories of individuals covered by the system: Persons who are suspected of attempting to smuggle, or have smuggled, merchandise or contraband into the United States; individuals who have undervalued merchandise upon entry into the United States; vessels and aircraft which have been found to be in violation of Customs laws.

Categories of records in the system: Names of individuals, vessels, aircraft; identifying factors; nature of violation or suspected violation; circumstances surrounding violation or suspected violation; date and place of violation or suspected violation; and on-site disposition actions.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Enforcement use by Customs Patrol Officers.

For additional routine uses see Appendix AA.

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

Storage: Each report is assigned a case number and filed accordingly in a locked, metal file located in the office of the Director of Patrol.

Retrievability: Each report is identified in a manual alphabetical card file by the name of the individual, vessel or aircraft.

Safeguards: In addition to being stored in a locked metal cabinet, these records are located in a locked room, the keys of which are controlled and issued only to authorized personnel.

Retention and disposal: These records are retained for one year or until action has been completed.

System manager(s) and address: District Director of Customs, U.S. Customs Service, Post Office Box 1641, Honolulu, Hawaii 96806.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.022

System name: Attorney Case File—Treasury/Customs

System location: Office of Regional Commissioner of Customs, John F. Kennedy Federal Bldg., Room 2411, Boston, Massachusetts 02203.

Categories of individuals covered by the system: Persons who are parties in litigation with the United States Government or sub-units, or employees or officers thereof, in matters which affect or involve the U.S. Customs Service.

Categories of records in the system: Seizure reports, investigative reports, Customs forms and documents relative to the case, petitions for relief, decisions on petitions, other background information relating to the litigation, motions, orders, etc., filed in connection with the litigation; investigative reports relative to an individual's economic ability to pay a claim.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the

reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Records maintained in file folders.

Retrievability: Records indexed by name of private individual involved in the litigation.

Safeguards: Open case files maintained in file cabinets with access by Regional Counsel and his staff only; closed case files maintained in locked cabinet with keys retained by Regional Counsel and his staff only.

Retention and disposal: Retained indefinitely or until there is no longer any space available within metal cabinets, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Regional Commissioner of Customs, John F. Kennedy Federal Bldg., Room 2411, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files is received from U.S. Customs employees, reports of investigation, Customs penalty case files, other Government agencies, parties involved in litigation, banks and credit bureaus, administrative proceedings regarding disciplinary action taken against Customs Service employees, Equal Opportunity complaints, denials of tort claims, denials of information under the Freedom of Information Act, and from other parties' information pertinent to the litigation.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.023

System name: Authorization to Perform Travel—Treasury/Customs

System location: Classification and Value Division, Cashier Branch, Rm 228, United States Customs Service, 335 Merchant St., Honolulu, Hawaii 96813.

Categories of individuals covered by the system: Customs Employees.

Categories of records in the system: Authorization number, name of traveler, estimated cost and purpose of travel.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in the Authorization to Perform Travel of the U.S. Customs Service are as follows: (a) Disclosure to those of-

Officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: CF 4835; Authorization to Perform Travel, filed numerically by Authorization Number issued locally and kept in metal cabinet within locked room.

Retrievability: Authorization to Perform Travel filed by Authorization Number, date and name.

Safeguards: Files are kept in metal cabinet within area assigned to U.S. Customs Service building. During non-working hours, the room in which the metal cabinet is located is locked.

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

System manager(s) and address: District Director of Customs, Rm 228, United States Customs Service, Federal Building, 335 Merchant Street, Honolulu, Hawaii 96813.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: All information originates from the District, Region or Headquarters in writing or telephonically.

Treasury/Customs 00.024

System name: Automated Customs Air Fleet Management Reporting System (CAMS)—Treasury/Customs

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W.; Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Customs Patrol Pilots and Crew Members.

Categories of records in the system: Flight time, budget data, maintenance, material and labor data, pilot and crew qualification for all types of aircraft used by Customs.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used for management purposes, such as, to determine experience and qualifications of pilots and flight time in various types of aircraft, budget information, enforcement activity involving Customs aircraft, etc.

For additional routine uses see Appendix AA.

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

Storage: Magnetic disc storage.

Retrievability: Indexing is by the name or personal identifier of Customs Pilots and/or Crew members.

Safeguards: All users must have full field background investigation. Only management can request the information on a "need to know" basis. Procedural and physical safeguards are utilized at all facilities; such as accountability and receipt records, guards, patrolling restricted access alarm protection system, and other special communications security.

Retention and disposal: All records are kept until the employee is transferred or is no longer able to fly. A copy of the record is given to the employee and the record is erased from the disc if the employee transfers or is no longer able to fly.

System manager(s) and address: Assistant Commissioner, Officer of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Pilot/Crew Qualification Report (Customs Form 180) which is filled out by a Customs pilot and/or crew member.

Treasury/Customs 00.025

System name: Automated Merchandise Processing System (AMPS) Liquidation File—Treasury/Customs.

System location: The computer is located at 1900 West Park Drive, McLean, Virginia 22101. Computer terminals are located at the Customhouses in Philadelphia, Pennsylvania and Chicago, Illinois and in U.S. Customs Headquarters, Washington, D.C. (See Customs Appendix A for addresses of Customhouses).

Categories of individuals covered by the system: Personnel authorized to liquidate Customs entries.

Categories of records in the system: Name of person, liquidator code.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Identification of persons who are authorized to accomplish liquidation of entries; (d) To provide management and supervisory information.

For additional routine uses see Appendix AA.

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

Storage: Information is stored on magnetic discs.

Retrievability: By liquidator code.

Safeguards: Information is retrieved from a computer terminal. The terminals are kept in guarded rooms, and only authorized persons are permitted into the room. The terminal will operate only after being fed a password and identification code. The room is locked at all times when not guarded.

Retention and disposal: The files are retained indefinitely and are updated periodically.

System manager(s) and address: Director, Duty Assessment Division, U.S. Customs Service Headquarters, Room 4218, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A

comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Liquidation codes are assigned by Customs officials to employees authorized by Customs to liquidate entries.

Treasury/Customs 00.270

System name: Background—Record File of Non-Customs Employees—Treasury/Customs.

System location: Offices of District Directors, Region IX, Chicago, Illinois—for addresses see Customs Appendix A.

Categories of individuals covered by the system: Present and past non-Customs personnel requiring a background investigation to gain admittance to restricted U.S. Customs premises.

Categories of records in the system: Report of background investigations, names, addresses, social security numbers and date and place of birth, etc. of non-Customs employees.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties which include ensuring the security of merchandise, contraband and information in Customs custody; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Treasury Appendix AA.

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

Storage: Records are maintained in file folders and stored in file cabinets in each District Director's office within Region IX, Chicago, Illinois.

Retrievability: Each file is identified by the name of the non-Customs employee.

Safeguards: The file cabinets are maintained within the area assigned to the District Director. During nonworking hours the room and/or building in which the file cabinet is located is locked.

Retention and disposal: These files are retained indefinitely. Employee name data is retained during the period the non-Customs employee requires admittance to restricted areas.

System manager(s) and address: District Director, as appropriate in Region IX, Chicago, Illinois.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Con-

stitution Avenue, NW., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature. If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine of up to 5,000 dollars. Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this file originates from the individual non-Customs employee working for a private contractor who requires admittance to restricted U.S. Customs premises, from reports of background investigation which include interviews of Customs personnel and private parties and from other Customs internal documents.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records are proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.026

System name: Badge and Gun Report—Treasury/Customs

System location: Logistics Management Division, U.S. Customs Service Headquarters, Room 1415, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Customs employees assigned to the Office of Investigations and the Office of Internal Security to whom badges and guns have been issued.

Categories of records in the system: Name, Social Security number, badge number, serial number of gun.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event

that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) Provide Customs with a record of those employees to whom badges and guns have been issued, and to provide personal accountability for badges and guns.

For additional routine uses see Appendix AA.

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

Storage: Magnetic tape and computer printout.

Retrievability: By name or Social Security number of the person to whom the badge or gun has been issued.

Safeguards: The magnetic tape and computer are maintained under procedural and physical safeguards such as accountability and receipt access, guards patrolling the area, restricted access, and alarm systems. Print-outs are stored in locked metal file cabinets. The room where the cabinets are kept is locked during non-working hours. The building is patrolled by security police on a round-the-clock basis, and only authorized persons are permitted in the building.

Retention and disposal: The records in this system are kept for as long as the individual remains in possession of a badge or gun. Thereafter the record is erased from the tape. The print-outs are retained for two years and then disposed of as paper trash.

System manager(s) and address: Director, Logistics Management Division, U.S. Customs Service, Headquarters, Room 1415, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person

under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information is recorded by the issuing officer at the time the badge or gun is issued.

Treasury/Customs 00.027

System name: Badge Number File—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif.; Offices of the Port Directors, San Ysidro, Calif.; Tecate, Calif.; Calexico, Calif.; Andrade, Calif.; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif.; San Ysidro, Calif.; Calexico, Calif.; Tecate, Calif.; see Customs Appendix A.

Categories of individuals covered by the system: Customs officers who have been assigned badges.

Categories of records in the system: Names, Badge Numbers.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Available to Supervisors and other Customs personnel who have need for badge identification.

For additional routine uses see Appendix AA.

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

Storage: Maintained on single 8 x 10 sheet by property clerk and Port Director.

Retrievability: Alphabetical.

Safeguards: Building is locked during non-working hours.

Retention and disposal: Indefinite while employee in duty status; otherwise destroyed.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District, according to the list that is attached as Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071—Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20029. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071—Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20029. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information supplied by individual and the Customs Service.

Treasury/Customs 00.028

System name: Baggage Declaration—Treasury/Customs

System location: Located at the District and Port Directors' offices in the Ogdensburg, New York district (Boston region)

Categories of individuals covered by the system: Persons required to make a written baggage declaration.

Categories of records in the system: Name, address, items declared and value.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) To substantiate cases of failure to declare or false declarations or investigation by Office of Investigations; (b) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (c) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (d) In the event that this system of records includes information which indicates a violation or potential violation of law whether civil, criminal, or regulatory in nature and whether arising by general statute or particular program statute or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency whether Federal, state, local, or foreign charged with the responsibility of investigating or prosecuting the statute or rule, regulation, or order issued pursuant thereto; (e) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee; the issuance of a security clearance; the letting of a contract; or the issuance of a license, grant, or other benefit; (f) A record from this system of records may be disclosed to a Federal agency in response to its

request in connection with the hiring or retention of an employee; the issuance of a security clearance; the reporting of an investigation of an employee; the letting of a contract; or the issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: In file folders in file cabinet.

Retrievability: By name.

Safeguards: Available to authorized Customs personnel only.

Retention and disposal: Free entry declarations are retained for three years then destroyed. Dutiable declarations are retained for three years at the Port, seven years at the Federal Record Center, and then destroyed.

System manager(s) and address: District and Port Directors.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The individual who files the baggage declaration.

Treasury/Customs 00.029

System name: Baggage Declaration File on Local Residents of the Virgin Islands—Treasury/Customs.

System location: Harry S. Truman Airport, St. Thomas, and Alexander Hamilton Airport, St. Croix, Virgin Islands.

Categories of individuals covered by the system: Travelling Residents of the Virgin Islands.

Categories of records in the system: Records of the dates and times that Residents depart from the Islands.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicated a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) Records are used by Customs Inspectors who recognize travelers as local residents. Inspectors notify residents that they owe duties on merchandise they are carrying to the United States, if they have travelled there within the last six previous months.

For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Records are stored in the form of a file of baggage declarations (CF 6059). They are retrievable by name. Routine records safeguards are used (building locked). Declarations are disposed of after six months.

System manager(s) and address: District Director of Customs, Virgin Islands District, P.O. Box 518, St. Thomas, Virgin Islands 00801.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this system is submitted by the travelling residents themselves, at time of departure for the United States.

Treasury/Customs 00.030

System name: Bankrupt Parties-in-Interest—Treasury/Customs.

System location: Regional Headquarters in Region VI, U.S. Customs Service, 500 Dallas St., Suite 1280, Houston, Texas 77002.

Categories of individuals covered by the system: Individuals indebted to U.S. Customs.

Categories of records in the system: Listed by name, address, port of service, bill number, and dollar amount of delinquent receivables.

Authority for maintenance of the system: Public Law 89-508, the "Federal Claims Collection Act of 1966," 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Provide ready reference to officers and employees of the U.S. Customs Service in Region VI of parties-in-interest with past due accounts who have filed in bankruptcy court; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Cases are maintained in file folders at work site.

Retrievability: Alphabetical order by name.

Safeguards: These cases are placed in locked cabinets during non-working hours. The building is guarded by uniformed security police.

Retention and disposal: As satisfaction received, cases are closed. Records are maintained per Records Control Manual FIS-4 No. 124.

System manager(s) and address: Director, Financial Management Division, 500 Dallas St., Suite 1265, Houston, Texas 77002.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (See Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (See Customs Appendix A), or to the Director, Entry Procedures and Penalties Division,

Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The source of information is obtained from individuals, bankruptcy courts, Customhouse brokers, and sureties.

Treasury/Customs 00.031

System name: Bills Issued Files—Treasury/Customs.

System location: Regional Commissioner of Customs, Suite 1501, 55 East Monroe Street, Chicago, Illinois 60603.

Categories of individuals covered by the system: Individuals to whom bills have been issued.

Categories of records in the system: Correspondence received from or sent to individuals in relation to bills issued by the United States Customs Service.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Individual alphabetical file folders in file cabinet.

Retrievability: Access by name of individual.

Safeguards: The file cabinet is maintained in the offices of the Regional Commissioner, Region IX, Chicago, Illinois. During non-working hours the room/building in which the file is located is locked. Access is limited to authorized personnel.

Retention and disposal: Correspondence file is maintained for a period of three years then destroyed.

System manager(s) and address: Regional Commissioner of Customs, Room 1501, 55 East Monroe Street, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information consists of copies of letters or memoranda issued to or received from individuals. Records of phone calls and copies of documents related to the individual's transaction.

Treasury/Customs 00.033

System name: Biographical Information File—Treasury/Customs.

System location: Public Information Office, U.S. Customs Service, Region VI, Suite 1240, One Allen Center, 500 Dallas Street, Houston, Texas 77002.

Categories of individuals covered by the system: Employees who by virtue of position and/or achievement are the subject of official news releases and news inquiries.

Categories of records in the system: Name; title; office; location; employment date; professional status; schools and colleges attended; dates of graduation; degrees received; major subjects studied; special courses completed; work experience; memberships in professional societies; achievements; books and articles written; committee service; military service and honors; date and place of birth; marital status; spouse's name; number of children; home address; hobbies; civic activities; list of publications to be sent press releases; names and addresses of parents and spouse's parents; personal photograph; copies of press releases; copies of news clippings.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosures to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) To provide biographical and personal data used in the preparation of news releases; (d) To provide biographical and personal data used in responding to inquiries from the news media; (e) To provide biographical and personal data used in preparing articles for internal publications.

For additional routine uses see Appendix AA.

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

Storage: Information is maintained in file folders and stored in metal file cabinets in an office with security lock.

Retrievability: The files are arranged alphabetically by name.

Safeguards: The file cabinet is located within an office that is locked during non-working hours. The building is guarded by uniformed security personnel.

Retention and disposal: Retained indefinitely as long as subjects are employed by Customs within the region. Files are destroyed when they are no longer useful.

System manager(s) and address: Regional Commissioner of Customs, U.S. Customs Service, Region VI, Suite 1240, One Allen Center, 500 Dallas Street, Houston, Texas 77002.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information in press biographical information files is supplied by the individual to whom it pertains. The information is submitted in the form in which persons submitting the data prefer to see it in print.

Treasury/Customs 00.032

System name: Biographical Files (Headquarters)—Treasury/Customs.

System location: Public Information Division, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229, and the Regional Public Information offices located at the addresses listed in Customs Appendix A.

Categories of individuals covered by the system: General biographical records are maintained on all Customs employees for news release and public information purposes.

Categories of records in the system: General biographical information including home address, date and place of birth, educational background, work experience, honors and awards, hobbies, and other information.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; such uses include release of information to the news media and for use in internal Customs publications; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Information is maintained in file cabinets in the Public Information Division at Customs Headquarters.

Retrievability: File folders are identified by the name of the person and are filed in alphabetical order.

Safeguards: The office in which the records are located is locked during non-working hours and the building is guarded by uniformed guards.

Retention and disposal: Files are retained during the individual's tenure as an employee of the Customs Service, after which the files are destroyed.

System manager(s) and address: Director, Public Information Division, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The individual involved, Customs personnel officers and co-workers.

Treasury/Customs 00.034

System name: Boarding Report—Treasury/Customs.

System location: Office of the Director, District Patrol, Suite 2800, Plaza Tower Bldg., 1001 Howard Ave., New Orleans, La. 70113; Dir., District Patrol Division, Rm. 213, International Trade Center, 250 N. Water Street, Mobile, AL 36602.

Categories of individuals covered by the system: All suspect vessels and/or boats that information has been received on indicating unlawful or suspicious activity requiring a Customs search.

Categories of records in the system: Regional form giving name of vessel, registration number, boarding date, hailing port, documentation port, name and address of master and all other important information pertaining to suspect vessel or boat.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Records maintained in standard Customs file folders in locked metal cabinets.

Retrievability: System is filed alphabetically by name of vessel owner.

Safeguards: File maintained in locked metal file cabinet, the keys of which are controlled by the custodian of the files. Those departmental officials who may occasionally be granted access consistent with their positions, have been cleared by a full field background investigation and granted appropriate security clearance for critical sensitive positions. During non-working hours, the room housing the metal cabinet is locked.

Retention and disposal: Boarding Reports are normally destroyed after 3 years. On active cases, files could presumably be retained for duration of interest in vessel. Disposal is by means of shredding.

System manager(s) and address: Director, District Patrol Division, Suite 2800, Plaza Tower Bldg., 1001 Howard Ave., New Orleans, La. 70113.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.035

System name: Boat Automated Management System (BAMS)—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Customs Patrol Marine Officers.

Categories of records in the system: Officer's name, personal identification number, type of vessel, maintenance and parts data, inspection reports and crime data.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Management use is to determine qualifications and experience of Customs Patrol marine officers.

For additional routine uses see Appendix AA.

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

Storage: Magnetic disc and tape storage.

Retrievability: By patrol officer name, Social Security number and boat type.

Safeguards: Only management can request information on a "need to know" basis. Procedural and physical safeguards are utilized at all facilities; such as accountability and receipt records, guards patrolling restricted access areas, alarm protection systems, etc.

Retention and disposal: Records are kept as long as the employee is in the Marine Patrol. When the employee is no longer qualified or able to operate a boat, a copy of the record is given to him and then the record is erased from the disc and tape.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in

writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

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Contesting record procedures: See Access above.

Record source categories: An internal Customs Form which is prepared by the Patrol Marine officer.

Treasury/Customs 00.036

System name: Boat Owners Mailing List—Treasury/Customs.

System location: Inspection & Control Division, U.S. Customs Service, Region VI, 500 Dallas St., Suite 1240, Houston, Texas 77002.

Categories of individuals covered by the system: Individual boat owners who own boats; (a) 28 feet and over—residing in Texas, Louisiana and Alabama; (b) 16 feet and over—in counties contiguous to and available to Lake Amistad and Falcon Lake, Texas.

Categories of records in the system: Name of individual boat owners meeting above criteria, address and boat identification and description.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to printer and/or mailing center for distribution of advisory material; (b) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (c) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: The information in this system is expected to be in a computer sheet printout which will be kept in the desk of an operations officer until needed.

Retrievability: It is expected that the lists from each state will be in alphabetical order.

Safeguards: The lists will be in an operations officer's desk which is located within an office that is locked during nonworking hours.

Retention and disposal: The information in these lists will be kept through initial mailing of required information after which they will be destroyed under supervision.

System manager(s) and address: Director, Inspection & Control Division, U.S. Customs Service, Region VI, 500 Dallas St., Suite 1240, Houston, Texas 77002.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Boat registration lists from: (a) State of Texas; (b) State of Louisiana; (c) State of Alabama; (d) U.S. Coast Guard.

Treasury/Customs 00.037

System name: Cargo Security File—Treasury/Customs.

System location: Special Agent in Charge, Room 501, 243 West Congress Street, Detroit, Michigan 48226; Special Agent in Charge, Room 210, 55 Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Longshoremen, Customs Bonded Warehouse employees, licensed Cartmen employees and other persons having access to cargo.

Categories of records in the system: Names, place of employment, residence, criminal records, date of birth, Social Security numbers, photographs, descriptions and other identifying data.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties and/or to cooperating Law Enforcement Agencies; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit.

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in loose-leaf binders and cross indexed index cards showing license numbers are kept in a metal box. They are kept in the communications room for rapid access.

Retrievability: Names of companies and individuals can be retrieved by checking the loose-leaf binders kept in an alphabetical listing. License plate numbers are listed in numerical sequence on index cards.

Safeguards: The records are kept in a room within the office which is locked when not in use. Keys are available only to employees, and are not accessible to persons other than employees. Employees having access to the room have received a security background and clearance. The offices are located in buildings with guards and controlled by sign-in, sign-out sheets after regular hours.

Retention and disposal: Information remains in the system indefinitely or until no longer needed. The records are disposed of by shredding or burning.

System manager(s) and address: Special Agent in Charge, Room 501, 243 West Congress Street, Detroit, Michigan 48226; Special Agent in Charge, Room 210, 55 Erieview Plaza, Cleveland, Ohio 44114.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.271

System name: Cargo Security Record System—Treasury/Customs.

System location: District Director, 423 Canal Street, New Orleans, Louisiana 70113; District Director, P.O. Box 2748, Mobile, Alabama 36601.

Categories of individuals covered by the system: Drivers of motor vehicles of licensed cartmen and lightermen; properties and operators of each class of Customs bonded warehouse and their employees.

Categories of records in the system: Records on drivers of motor vehicles contain information relating to personal statistical data, physical characteristics, history of past employments, previous five years residences, alias (if any), citizenship, military records, criminal record other than traffic violations, use of narcotic drugs, and photograph. Name of operator of bonded warehouse and employees.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties which include protection of the revenue of the United States and protection of merchandise in Customs custody; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: File folder with Customs Form 3078, Customs Form 73, Photographs, and correspondence; For bonded warehouses, file folder contains Customs Form 3581 and names, addresses, and social security number of all employees; all stored in metal file cabinet. Alphabetical list of current I.D. cards issued on drivers retained in file folder and stored in desk drawer.

Retrievability: By individual name or corporate name.

Safeguards: Unlocked metal file cabinet and desk drawer of customs employee; building secured after hours.

Retention and disposal: Information on drivers is retained in an active file until revoked or cancelled. After revocation or cancellation, the information folder is placed in an inactive file for a period of five years, after which time the records are disposed of in accordance with the General Services Administration Records Disposal Manual. Information on proprietor bonded warehouse operators and employees is retained on file until Customs bonded operations cease and are discontinued, then are maintained in an inactive file for a period of three years. Final disposition is in accordance with the GSA Records Disposal Manual.

System manager(s) and address: District Director, 423 Canal Street, New Orleans, Louisiana 70113; District Director, P.O. Box 2748, Mobile, Alabama 36601.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Classification and Value Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Classification and Value Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information is obtained from applicant (individual or corporation) and from reports of investigation on drivers obtained from Regional Director, Investigations, U.S. Customs Service.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (K)(2) proposes to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.038

System name: CARNET Information System—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W.; Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Persons who make temporary exportation from the United States of an automobile or other motor vehicle under the provisions of certain international agreements which cause a document known as "Carnet de Passages en Douanes" to be issued to the exporter.

Categories of records in the system: Individual's name, personal identifiers, vehicle information, countries visited, and expected length of stay.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosures to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency

maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) The system is used in support of Customs enforcement activity, such as the verification of Customs declarations of persons arriving at United States ports of entry.

For additional routine uses see Appendix AA.

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

Storage: Magnetic disc storage.

Retrievability: Indexing is by vehicle identification numbers and by name of applicant for the Carnet document.

Safeguards: All inquiries are made by Customs officers who have had a full field background investigation on a "need-to-know" basis only. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, etc.

Retention and disposal: The computerized records are automatically cancelled from the computer data base upon the return of the Carnet subject or vehicle to the United States.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.039

System name: Carrier File—Treasury/Customs.

System location: Room 130, U.S. Customhouse, Terrace & International Streets, Nogales, Arizona.

Categories of individuals covered by the system: Applicants for Bonded Carrier's License.

Categories of records in the system: Application with pertinent documents and bonds covering approval as bonded carrier.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Granting of Bonded Carrier status and collection of penalties for Customs violations; (b) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (c) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Carrier files retained in alphabetical order at District Office.

Retrievability: By name.

Safeguards: Records are retained in lockable file cabinet and building is locked during other than office hours.

Retention and disposal: Records retained until obsolete and destroyed by burning.

System manager(s) and address: District Director, U.S. Customhouse, Nogales, Arizona 85621.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the

Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information contained herein originates with the applicant and includes required licenses and information relative to equipment utilized.

Treasury/Customs 00.040

System name: Carrier File—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif.; Offices of the Port Directors, San Ysidro, Calif.; Tecate, Calif.; Calexico, Calif.; Andrade, Calif.; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif.; San Ysidro, Calif.; Calexico, Calif.; Tecate, Calif.; see Customs Appendix A.

Categories of individuals covered by the system: Officers or owners, employees, associates of Customs Bonded Carriers.

Categories of records in the system: Name, date of birth, Social Security No., place of birth and other information relating to Officers, Associates, employees, etc., of Bonded Carriers.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended, and the Customs Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure of those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising

by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Maintain a current file relating to operations, bond status, possible violations, and employment history of individuals working for the Bonded Carrier.

For additional routine uses see Appendix AA.

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

Storage: Manila folder in file cabinet.

Retrievability: Filed by name of company or individual.

Safeguards: Building locked during non-working hours.

Retention and disposal: Indefinitely.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District. See Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071—Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20029. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071—Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20029. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Customs Bonded Carriers' employees and correspondence.

Treasury/Customs 00.041

System name: Cartmen or Lightermen—Treasury/Customs.

System location: Customs ports, districts, and regional offices. See Customs Appendix A.

Categories of individuals covered by the system: Individuals and firms who have applied for or hold a license as a bonded cartman or lighterman and individuals employed by cartman or lightermen.

Categories of records in the system: Internal Customs Service memoranda and related materials regarding applications for licenses and identification cards, reports of investigations for approving these licenses and identification cards and card files showing outstanding identification cards and their location. Files also include fingerprint cards.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Used by Customs personnel in determining eligibility of applicants to be approved as licensed cartmen or lightermen; (b) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (c) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (d) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (e) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (f) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: The information in this system is contained in a metal file cabinet in the office maintaining the system.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the licensed cartman or lighterman and in the alphabetical file folder by the name of the licensed cartman or lighterman. Each employee's record is filed in a manual alphabetical card file cross-referenced with company names.

Safeguards: The file is placed in a metal file cabinet at the work site. At locations where work is not performed on a 24-hour basis the work area is locked and only authorized persons are permitted in the building.

Retention and disposal: Files are reviewed at least once a year at which time cancelled I.D. cards may be removed. Closed CF 3078's may also be removed, but normally are held for approximately three years in case a new application is received from the same

company or transferred to another company after a new investigation.

System manager(s) and address: Port Directors, District Directors, and Regional Commissioners of the U.S. Customs Service. See Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.042

System name: Case and Complaint File—Treasury/Customs.

System location: Office of the Regional Counsel, U.S. Customs Service, Region IX, 55 E. Monroe Street, Room 1417, Chicago, Illinois 60603.

Categories of individuals covered by the system: Any individual initiating a court case or against whom a court case is brought; any individual involved in a personnel action, either initiating a grievance, discrimination complaint, or unfair labor practice complaint against the U.S. Customs Service or against whom a disciplinary or other adverse action is initiated; claimants or potential claimants under the Federal Tort Claim Act; individuals involved in accidents with U.S. Customs Service employees; U.S. Customs Service employees involved in accidents; persons seeking relief from fines, penalties and forfeitures and restoration of proceeds from the sale of seized and forfeited property; requesters under the Freedom of Information Act.

Categories of records in the system: The System contains the individual's name, the type of case, the uniform filing guide number, the Regional Counsel's office file number, by whom the matter was referred, the district where the action originated, if applicable.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used to retrieve files by attorneys and staff by use of the individual's name.

For additional routine uses see Appendix AA.

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

Storage: Each alphabetical card is inserted in a metal file drawer.

Retrievability: Each card is identified alphabetically by the individual's name described in Category of Individual and the filing is alphabetical by last name.

Safeguards: The metal filing drawer containing the alphabetical cards described above is maintained within the area assigned to the Office of the Regional Counsel, Region IX at 55 E. Monroe Street, Chicago, Illinois 60603. During non-working hours, the room in which the metal filing drawer is located is locked and access to the building is controlled at all times by uniformed guards with a check-in system for employees. Only employees of the Regional Counsel's office and authorized building personnel have keys to the building.

Retention and disposal: These files are retained indefinitely or until there is no longer space available for them within the metal filing drawer at which time the oldest cards for closed files will be transferred to the storage area within the confines of the office. The storage area is a large area containing cardboard boxes and metal storage cabinets, unable to be locked.

System manager(s) and address: Regional Counsel of Customs, Room 1417, United States Customs Service, 55 E. Monroe Street, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained on these cards originates with the initiation of any action by an individual which is channeled through the Regional Counsel's office. Additional information is identifying information for locating the particular case file relating to the court case, personnel action, tort claim, relief petition, or request under the Freedom of Information Act.

Treasury/Customs 00.043

System name: Case Files (Regional Counsel-Region V)—Treasury/Customs.

System location: The system is located in Room T-13021, 701 Loyola Avenue, New Orleans, Louisiana 70113, Office of the Regional Counsel, Region V, United States Customs Service.

Categories of individuals covered by the system: (1) The first category of individuals on whom records are maintained in the system includes employees who have filed adverse actions, equal employment opportunity complaints, and grievances within Region V; employees who have filed tort claims under the Military Personnel and Civilian Employees Act; employees of the Regional Counsel's staff with regard to travel, training, evaluations, and other related personnel records; and applications for employment submitted to the Office of the Regional Counsel by prospective employees; (2) The second category of individuals on whom records are maintained in the system includes those individuals not employed by the agency who have filed equal employment opportunity complaints; tort claims under the Federal Tort Claims Act; tort claims filed under the Small Claims Act; individuals who have outstanding Customs bills submitted for collection; individuals, corporations, partnerships, and proprietorships who have filed supplemental petitions on fines, penalties, and forfeitures within Region V; files relating to individuals, corporations, partnerships, and proprietorships upon whom criminal case reports are prepared pending litigation and prosecution for violation of 19 U.S.C. 1305, 18 U.S.C. 542, 18 U.S.C. 545, 18 U.S.C. 549, 18 U.S.C. 1001, 18 U.S.C. 496, and 18 U.S.C. 371; on individuals, corporations, partnerships, and proprietorships who have filed supplemental petitions submitted in civil and technical violations for 19 U.S.C. 592, 19 U.S.C. 1453, 19 U.S.C. 1448, 19 U.S.C. 1584, irregular deliveries, shortages and overages; and miscellaneous civil and technical violations.

Categories of records in the system: The categories of records maintained in the system are personnel actions; tort claims; collection efforts; supplemental petitions for fines, penalties, and forfeitures cases in Region V; criminal case reports for pending litigation and prosecution of cases in Region V; supplemental petitions for civil and technical violations committed within Region V; and employment applications for positions in the Office of the Regional Counsel, Region V.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as if necessary to obtain information relevant to an agency decision concerning the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Routine uses of the records contained in the system are for the processing and evaluation of complaints and claims submitted in adverse actions, equal employment opportunity complaints, grievances, tort claims, criminal investigations, civil investigations, collection efforts, employment actions, and personnel actions; (g) Routine uses include reference for

the processing of claims; continuous updating of the records necessary for the processing of claims; references to the files for the satisfaction of claims and closing cases by or against the United States Customs Service within Region V; submission of copies of records to the General Services Administration and the Justice Department for prosecution of criminal and civil violations and collections; submissions of copies of records to various branches of the United States Customs Service within Region V for the purposes of investigating and/or processing outstanding civil and criminal cases, collection cases, tort claims, and various personnel actions; (h) The purposes of such uses include the processing of all of the above-cited claims by the Office of the Regional Counsel and the preparation of legal memoranda to various department heads and other agencies to expedite the ordinary course of business of the United States Customs Service within and without Region V.

For additional routine uses see Appendix AA.

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

Storage: The records are currently maintained in alphabetical file folders which are filed in two steel filing cabinets in the Office of the Regional Counsel, Region V, and they are maintained under lock and key outside the ordinary business hours.

Retrievability: Records maintained by the Office of the Regional Counsel, Region V, are retrievable by identifying the character of the record (i.e., adverse action, grievance, tort claim, criminal case), then by comparable statute or regulation, and then alphabetically by name and identifier. In addition, each case file is similarly identified on the alphabetical file folder within the steel filing cabinet.

Safeguards: (a) The steel filing cabinets described above are maintained within the area assigned to the Office of the Regional Counsel within the U.S. Postal Service Building, Room T-13021, 701 Loyola Avenue, New Orleans, Louisiana 70113. During non-working hours the room in which the locked steel cabinets are located is locked, and access to the building is controlled at all times by uniformed guards; (b) The policies and practices of the Office of the Regional Counsel regarding access controls are that only members of the staff of the Office of the Regional Counsel have access to the records maintained by the office.

Retention and disposal: (a) Records collected by this office are currently retained on a permanent basis as the office has only been in operation since August 1973; (b) Individual records are not disposed of by the Office of the Regional Counsel, Region V, and are simply placed into a further file of closed cases by category as stated above, and within each category by name. However, when applicable, this office will comply with appropriate disposal regulations whereby the oldest closed cases will be forwarded to the Federal Records Center in accordance with the Treasury Records Control Manual.

System manager(s) and address: The agency official responsible for the system of records maintained by the Office of the Regional Counsel is the Regional Counsel, Region V, United States Customs Service, Room T-13021, 701 Loyola Avenue, New Orleans, Louisiana 70113.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner, U.S. Customs Service, Room T-13036, 701 Loyola Avenue, New Orleans, Louisiana 70113 (the region in which the records are located), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity; and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand

dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The categories of sources of records in this system are the individual himself and files compiled by the United States Customs Service by using employers, other government agency resources, financial institutions, educational institutions attended, and previous employers.

Additional information in these files is also derived from reports of investigation regarding the enforcement of civil or criminal statutes; administrative proceedings regarding disciplinary action taken against Customs Service employees, equal opportunity complaints, investigations of tort claims, the processing of inter-office memoranda information requested under the Freedom of Information Act, and the investigation regarding the collection of debts due the Government.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.044

System name: Certificates of Clearance—Treasury/Customs.

System location: Financial Management Division, U.S. Customs Service, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Categories of individuals covered by the system: All employees of Region I, Boston, Massachusetts who have transferred, retired or resigned.

Categories of records in the system: Documented detailed information on an in-house prepared form indicating that the employee has returned all Government property in his personal possession and that the employee has cleared all debts owing to Customs such as unearned uniform allowances and travel advances.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) The system is used as a check-off list to insure that the employee has complied with his obligation for the return of Government property and money. The system is used by all employees of the Payment Section.

For additional routine uses see Appendix AA.

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

Storage: Data is stored in file folders by District and name of employee in a metal file cabinet in the work area of the Payment Section.

Retrievability: The file is retrievable by District and name of employee.

Safeguards: The file is located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted entry to the building.

Retention and disposal: The files are kept for 10 years and then destroyed.

System manager(s) and address: Director, Financial Management Division, U.S. Customs Service, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in the system originates at the District where the individual is employed.

Treasury/Customs 00.045

System name: Claims Act File—Treasury/Customs.

System location: Office of the Regional Counsel, Room 7422, New Federal Building, 300 N. Los Angeles St., Los Angeles, CA 90053.

Categories of individuals covered by the system: Current or former Customs employees who have filed, or may file claims under the Military Personnel and Civilian Employees' Claim Act of 1964 for damage to or loss of personal property incident to their service.

Categories of records in the system: Documents relating to the administrative handling of the claim and documents submitted by the claimant in support of the claim.

Authority for maintenance of the system: 31 U.S.C. 240-243; 31 CFR Part 4; Treasury Department Administrative Circular No. 131, August 19, 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information contained in this file is utilized to formulate recommendations, and is made available to the officials within the Customs Service who make final decisions on claims submitted pursuant to the Military Personnel and Civilian Employees' Claim Act of 1964.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted alphabetically in a file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified alphabetically in the file folder within the metal container by the name of the person who has filed or may file a claim.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Regional Counsel within the New Federal Building. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest closed files are transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel, Room 7422, New Federal Building, 300 N. Los Angeles St., Los Angeles, California 90053.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, 300 N. Los Angeles St., Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of Customs, 300 N. Los Angeles St., Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or will-

fully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in these files originates with a Treasury Department Form No. 3079, Civilian Employee Claim For Loss or Damage to Personal Property, which is completed and filed with the Customs Service by the claimant. Additional information contained in these files may be separately provided by the claimant or by the claimant's supervisor. Where a claim is not filed, the information is limited to the investigative reports of damage to or loss of personal property of a Customs employee.

Treasury/Customs 00.046

System name: Claims Case File—Treasury/Customs.

System location: Office of Regional Commissioner of Customs, John F. Kennedy Federal Bldg., Room 2411, Boston, Massachusetts 02203.

Categories of individuals covered by the system: Parties who have filed claims for damage or injury against the Government, or against whom the Government has a claim for damage or injury in matters which affect or involve the U.S. Customs Service; private individuals or Government employees who are involved in the incident which gave rise to the claim.

Categories of records in the system: Reports relative to the circumstances of the claim (including accident reports provided by Customs personnel, agents' investigative reports, correspondence between Customs and the claimant or his representative); reports relative to an individual's ability to pay a claim for damages.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Records maintained in file folders.

Retrievability: Records indexed by name of private individual making a claim or against whom a claim is made; cross-referenced file with name of Government employee, if any, involved.

Safeguards: Open case files maintained in file cabinets with access by Regional Counsel and his staff only; closed case files maintained in locked cabinet with keys retained by Regional Counsel and staff only.

Retention and disposal: Retained indefinitely or until there is no longer any space available within metal cabinets, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Regional Commissioner of Customs, John F. Kennedy Federal Bldg., Room 2411, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (See Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files is received from U.S. Customs employees, reports of investigation, credit checks, private individuals involved in the claims, other Government agencies and other individuals with pertinent information.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.047

System name: Claims Files (Region VIII)—Treasury/Customs.

System location: Office of the Regional Counsel, 15th Floor, 450 Golden Gate Ave., San Francisco, CA 94102

Categories of individuals covered by the system: The categories included are: (1) Private persons filing claims under the Federal Tort Claims Act for property damage or personal injury allegedly caused by a wrongful or negligent act or omission on the part of a Customs Service employee while acting within the scope of his employment; (2) Current or former Customs employees filing claims under the Military Personnel and Civilian Employees' Claims Act of 1964 for damage to or loss of personal property incident to their service; (3) Individuals against whom the Government may have a claim for property damage caused by a wrongful or negligent act or omission on the part of the individual.

Categories of records in the system: Reports of investigation regarding claims filed, documents relating to the administrative handling of the claim and documents submitted by the claimant in support of the claim.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; Reorganization Plan No. 1 of 1965; 28 U.S.C. 2672, et seq; 31 U.S.C. 240-243, 28 CFR 14.1 et seq; 31 CFR 3.1, et seq; 31 CFR, Part 4; Treasury Department Administrative Circular No. 131, August 19, 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) The information contained in these files with respect to Category 1 individuals above is used to administratively process claims filed under the Federal Tort Claims Act and is made available

to the officials within the Customs Service who review recommendations and who make final decisions on such claims. In addition, information contained in the Category 1 files is made available to the Department of Justice to assist that Department in preparing the Government's case when suit is filed in court based on an administrative denial of the claim or based on a failure to administratively process the claim within the prescribed time period; (d) The information contained in these files with respect to Category 2 individuals above is utilized to formulate recommendations, and is made available to the officials within the Customs Service who make final decisions on claims submitted pursuant to the Military Personnel and Civilian Employees' Claims Act of 1964; (e) Information contained in these files with respect to Category 3 individuals above is used to make recommendations and is made available to officials within the Customs Service who make final determinations with respect to whether or not Customs should proceed to collect a claim against an individual for damage to Government property and how this should be done.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal file cabinet.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person who filed the claim and in the alphabetical file folder within the metal file cabinet by the name of the person who filed the claim in the case of Categories 1 and 2 above and by the name of the individual against whom the Government may have a claim in the case of Category 3 above.

Safeguards: The metal file cabinet described above is maintained within the area assigned to the Office of the Regional Counsel within the Federal Building. During non-working hours the room in which the metal file cabinet is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: Claim files are retained indefinitely or until there is no longer any space available for them within the metal file cabinet, at which time the oldest files may be transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel, 15th Floor, 450 Golden Gate Ave., San Francisco, CA 94102.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in the Federal Tort Claim files originates with a Standard Form 95, Claim for Damage or Injury, which is completed and filed with the Customs Service by the claimant. Investigations are conducted by authorized Customs Service investigative personnel in order to determine the facts surrounding the claims. During these investigations information may be elicited from Customs Service employees, private persons, or any other parties who may have information regarding the facts surrounding the claims.

The information contained in the Military Personnel and Civilian Employees Claims Act files originates with a Treasury Department Form No. 3079, Civilian Employee Claim For Loss or Damage to Personal Property, which is completed and filed with the Customs

Service by the claimant. Additional information contained in these files may be separately provided by the claimant or by the claimant's supervisor.

Information contained in the files concerning property damage claims by the Government originates with a report by a Government employee of an incident or of facts from which it appears that the Government may have a claim. Based upon the reports, investigations are conducted to determine the facts surrounding the claims. During the investigations information may be elicited from Customs Service employees, private persons, or any other parties who may have information regarding the facts surrounding the claims.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.048

System name: Claims for Automobile Accidents—Treasury/Customs.

System location: Financial Management Division, U.S. Customs Service, Region 1, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Categories of individuals covered by the system: Persons involved in automobile accidents for which Customs is pursuing collection.

Categories of records in the system: Accident reports, estimate of damages, insurance company correspondence, statements of witnesses, scope of employment of motor vehicle operation, and copies of bills sent to debtors.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law whether civil, criminal, or regulatory in nature and whether arising by general statute or particular program statute or by regulation, rule, or order issued pursuant thereto the relevant records in the system of records may be referred, as a routine use, to the appropriate agency whether Federal, state, local, or foreign charged with the responsibility of investigating or prosecuting the statute or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee; the issuance of a security clearance; the letting of a contract or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency in response to its request in connection with the hiring or retention of an employee; the issuance of a security clearance; the reporting of an investigation of an employee; the letting of a contract; or the issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) This system is used by the Operating Accountant and Collection Section employees to collect claims resulting from damage to Customs vehicles.

For additional routine uses see Appendix AA.

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

Storage: Data is stored in file folders located in the office of the Revenue Accountant in a 4-drawer metal file under his physical security.

Retrievability: The file is retrieved by the name of the individual which is kept in alphabetical order.

Safeguards: The file is located within an office that is locked during non-working hours. The building is guarded by uniformed Security Police, and only authorized persons are permitted entry to the building.

Retention and disposal: The file is retained until collection is effected or referred to the Regional Counsel. The file is kept for three years and then destroyed.

System manager(s) and address: Director, Financial Management Division, U.S. Customs Service, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information in the system originates with the operator of the motor vehicle in conjunction with the investigation report obtained from the Office of Internal Affairs.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.049

System name: Claims (Receivable and Payable)—Treasury/Customs.

System location: Financial Management Division, U.S. Customs Service, Region 1, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Categories of individuals covered by the system: Persons who have presented claims for payments by Customs or one involved in debts due Customs.

Categories of records in the system: Documented detailed information concerning the claims or debts involved in each case and related financial data on individuals involved in the debt or claim.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this

system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) The system is used by the Chief, Accounting Branch as a guide in information-gathering to effect payment or collection.

For additional routine uses see Appendix AA.

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

Storage: Data is stored in file folders maintained in a metal file cabinet under the physical security of the Chief, Accounting Branch of the Financial Management Division.

Retrievability: The file is retrieved by the name of the individual on subject matter.

Safeguards: The files are located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted entry to the building.

Retention and disposal: The files on unusual cases are kept indefinitely for reference; routine cases are destroyed.

System manager(s) and address: Director, Financial Management Division, U.S. Customs Service, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting

identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in the system is obtained from the Personnel Department and the Payroll Data Center.

Treasury/Customs 00.266

System name: Collection File—Treasury/Customs.

System location: Office of the Regional Counsel, Suite 1240, 500 Dallas Street, Houston, Texas 77002.

Categories of individuals covered by the system: Individuals against whom the Customs Service has asserted monetary claims and maintains collection efforts, principally for damages done to Government property.

Categories of records in the system: Reports of investigation regarding damage done to Government property by private individuals and documents relating to the administrative determination and handling of the claim.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the U.S. Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) The information contained in this file is used to administratively process claims asserted by the Customs Service for damage done to government property by private individuals. The information is made available to those officials within the Customs Service who review and process such claims. In addition, information contained in this file is made available to the Department of Justice to assist that Department in preparing the government's case when suit is filed in court because administrative collection efforts are unsuccessful.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in the alphabetical file folder within the metal container by the name of the person who filed the claim.

Safeguards: The metal container described above is maintained with the area assigned to the Office of the Regional Counsel on the 12th Floor of 500 Dallas Street, Houston, Texas. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed security guards provided by the lessor.

Retention and disposal: These files are retained until closed at which time the closed files are transferred to the Division of Facilities Management, Office of the Regional Commissioner, Houston, Texas for ultimate transportation to the Federal Record Center.

System manager(s) and address: Regional Counsel, Suite 1240, United States Customs Service, 500 Dallas Street, Houston, Texas 77002.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting

identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with a memorandum filed by the Customs employee accountable for the damaged property. An investigation is then conducted by authorized Customs Service investigative personnel in order to determine the appropriate facts. During the investigation, information may be elicited from Customs Service employees, private individuals, or any other party who may have relevant information.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.050

System name: Community Leader Survey—Treasury/Customs.

System location: Equal Employment Opportunity Officer, U.S. Customs Service, Region VI, 500 Dallas St., Suite 1240, Houston, Texas 77002.

Categories of individuals covered by the system: The names, titles, and organization of persons who may be construed to be occupying a community leadership role and who may be in a position to furnish information or have some influence in regard to the equal employment opportunity program area.

Categories of records in the system: These records will consist of a card index of the names, titles, and organization of community leaders.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) To provide an evaluation of the Regional equal employment opportunity posture; (b) To provide planning for an affirmative action program and to assist in evaluating and monitoring progress in the equal employment opportunity program area; (c) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (d) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: To be prepared in an alphabetical card listing and filed in a metal file cabinet.

Retrievability: To be listed and filed alphabetically.

Safeguards: The metal file cabinet described above will be maintained within the area assigned to the Equal Employment Opportunity Officer. During non-working hours this office area is locked and access to the building is controlled at all times by uniformed guards.

Retention and disposal: To be useful, this information file must be kept current. Non-current files will be destroyed locally.

System manager(s) and address: Equal Employment Opportunity Officer, U.S. Customs Service, Region VI, 500 Dallas St., Suite 1240, Houston, Texas 77002.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Con-

stitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (See Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information to be included in these files will be developed from local agencies (city, county, state, and Federal) and from local civic organizations.

Treasury/Customs 00.051

System name: Complaints Against Customs Personnel—Treasury/Customs.

System location: Director, District Patrol Division, Suite 2800, Plaza Tower Building, 1001 Howard Avenue, New Orleans, LA 70113; Director, District Patrol Division, Room 213, International Trade Center, 250 N. Water Street, Mobile, AL 36602.

Categories of individuals covered by the system: Present and past employees of the Patrol Division and U.S. Customs Service.

Categories of records in the system: Letters and official government memoranda.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regula-

tion, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: The information in this system is contained in file folders and stored in locked metal cabinets.

Retrievability: File folders for this system are filed according to Customs filing code system.

Safeguards: File is maintained in locked, metal file cabinet, the keys of which are controlled by the custodian of the files. Those departmental officials who may occasionally be granted access consistent with their positions have been cleared by a full field background investigation and granted appropriate security clearance for critical sensitive positions. During non-working hours, the room housing the metal cabinets is locked.

Retention and disposal: Complaints against Customs Personnel files are normally destroyed after 1 year. If there are any pending complaints, the file may be kept until the case is closed. Method of disposal is shredding.

System manager(s) and address: Director, District Patrol Division, Suite 2800, Plaza Tower Building, 1001 Howard Avenue, New Orleans, La 70113.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this system originates from any Federal, state or local law enforcement agencies or individuals, from any private business or individuals who may have any complaints against Customs personnel.

Treasury/Customs 00.052

System name: Complaints Against Customs Personnel—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif.; Offices of the Port Directors, San Ysidro, Calif.; Tecate, Calif.; Calexico, Calif.; Andrade, Calif.; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif.; San Ysidro, Calif.; Calexico, Calif.; Tecate, Calif.; according to Customs Appendix A.

Categories of individuals covered by the system: Individual name of person lodging complaint.

Categories of records in the system: All available correspondence, incident reports, and anything related to complaint.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. Available to Customs personnel who have need for this information.

For additional routine uses see Appendix AA.

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

Storage: Individual, tabbed file folders.

Retrievability: Maintained alphabetically.

Safeguards: In locked file cabinet and available only to Port Director or his alternate.

Retention and disposal: Indefinite.

System manager(s) and address: District Director, Port Directors, and Division Directors. See Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regu-

lations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Individuals who have made complaints and Customs Officers who have filed reports.

Treasury/Customs 00.053

System name: Confidential Source Identification File—Treasury/Customs.

System location: Office of Investigations, U.S. Customs Service Headquarters, Room 3106, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Individuals (Sources) supplying confidential information to the U.S. Customs Service, Office of Investigations.

Categories of records in the system: This system contains some or all of the following information: name (actual or assumed), source (identifying) number, date number assigned, address, citizenship, date and place of birth, physical description, photograph, Social Security number, FBI number, passport number, Customs Form 4621 documenting information received from confidential source, amount and date of monetary payment made to source for information supplied, criminal record, copy of driver's license, and copy of alien registration card.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; 19 U.S.C. 2072, Title 19, United States Code; Title 18, United States Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This information is primarily for the exclusive internal use of authorized employees of the Office of Investigations in connection with civil and criminal investigations and in connection with payments made for information received. Stringent controls are placed upon access to the files, even among Office of Investigations personnel. In extremely rare and unusual situations, information with full source concurrence

may be supplied to such organizations as Federal, state, and/or other law enforcement or prosecutorial agencies as the demands of law or justice might require.

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

Storage: Data is stored in a metal storage cabinet which remains locked except when momentarily opened for filing purposes.

Retrievability: The name of each source is filed in both alphabetical order and by location of the submitting office.

Safeguards: In addition to being stored in secure metal cabinets with government approved locks, the metal files are located in a closely watched room of the Office of Investigations. Personnel maintaining the files are selected for their reliability, among other qualities, and afforded access only after having been cleared by a full field investigation. During non-working hours the room in which the records are located is locked and access to the building is controlled by uniformed security guards.

Retention and disposal: Indefinite retention periods have been established for all records contained in the file. When a file no longer has any utility it is destroyed by either shredding or burning.

System manager(s) and address: Assistant Commissioner, Office of Investigations, U.S. Customs Service Headquarters, Room 3106, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.054

System name: Confidential Statements of Employment and Financial Interests—Treasury/Customs.

System location: Located in the Regional office or Personnel Management Division, U.S. Customs Service, of each region and headquarters, according to Customs Appendix A.

Categories of individuals covered by the system: Those employees as listed in Treasury Personnel Manual Chapter 735 Subpart C, Section 0.735-320, Customs Appendix A, and the currently effective edition of Customs Circular PER-2-PER (Subject: Personnel; Departmental Rules of Conduct and Requirements Concerning Financial Statement).

Categories of records in the system: Form TD 3087, Confidential Statement of Employment and Financial Interests.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) All financial statements are to be reviewed for an indication of any conflict of interest or apparent conflict of interest as defined in the Federal, Treasury, and Customs Personnel Manuals.

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by name.

Safeguards: Records are maintained in locked safe.

Retention and disposal: Records are destroyed two (2) years after employee leaves a position in which a statement is required, or two (2) years after the employee leaves the agency, whichever is earlier.

System manager(s) and address: Director, Personnel Management Division, U.S. Customs Service, Washington, D.C. 20229, or appropriate Regional Principal Field Officer.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Individuals required to submit Form TD 3087.

Treasury/Customs 00.055

System name: Congressional and Employment Correspondence—Treasury/Customs.

System location: Personnel Management Division, U.S. Customs Service, Washington, D.C. 20229.

Categories of individuals covered by the system: Records are maintained in this system on individuals who have written to their Congressman or directly to Customs requesting assistance in resolving problems and/or securing employment.

Categories of records in the system: Incoming letters and the agency's reply and related materials.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required

in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Records are used as a point of reference should the individual submit other inquiries either from him personally or his Congressman. User—addressee and those individuals the addressee asks for assistance.

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by name.

Safeguards: Records are maintained in a locked file.

Retention and disposal: Indefinite.

System manager(s) and address: Director, Personnel Management Division, U.S. Customs Service, Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The source of records in the system are the inquiries originated by the individual.

Treasury/Customs 00.056

System name: Congressional and Public Correspondence File—Treasury/Customs.

System location: Support Branch, Inspection and Control Division, U.S. Customs Service, Room 4126, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Those persons sending letters of complaint or making written inquiries concerning Customs inspectional activities and procedures. Those persons include Congressmen acting on behalf of their constituents, industrial and commercial representatives, and private individuals.

Categories of records in the system: The name of the person or persons concerned, file number, date of inquiry, date inquiry received, closing date, member of staff closing case, and the nature of the complaint or inquiry.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such use: The routine use of records contained in this system are as follows: (a) Disclosure to those officers and employees of the Customs Service and Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) To maintain a record of public inquiries and complaints received by the Division, to determine priority for responding to inquiries and complaints; to provide quick retrieval of such correspondence; to ensure timely response to inquiries and complaints; and to prepare responses to inquiries and complaints.

For additional routine uses see Appendix AA.

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

Storage: Correspondence records are maintained on 3 x 5 index cards. The cards are placed within a 6 x 9 metal file box, which is kept in an unlocked desk drawer. The correspondence files themselves are placed in legal and letter size metal file cabinets which are kept in a locked file room.

Retrievability: Correspondence records are identified by the name of the person making inquiry or complaint. The cards are then filed alphabetically.

Safeguards: Access to the file is granted only to authorized Customs personnel. During non-working hours the room in which the records are located is locked and access to the building is controlled by uniformed security police.

Retention and disposal: The records are maintained indefinitely.

System manager(s) and address: Office Manager, Support Branch, Inspection and Control Division, U.S. Customs Service, Room 4126, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those

in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information contained in this record system is obtained from the correspondence of the individual making the inquiry or complaint and from investigations and/or inquiries into complaints conducted by Customs Service personnel which include interviews of involved Customs employees and private individuals or other witnesses to the incident in question.

Treasury/Customs 00.057

System name: Container Station Operator Files—Treasury/Customs.

System location: Offices of District Directors, Region IX, Chicago, Illinois. See Customs Appendix A.

Categories of individuals covered by the system: Present and past container station operators and employees that require an investigation and related information.

Categories of records in the system: Report of investigations, application and approval or denial of bond to act as container station operator and other Customs Service memoranda. Names, addresses, social security numbers, and dates and places of birth of persons employed.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; Customs Regulations, Part 19.

Routine uses of records maintained in the system, including categories of users and the purposes of such use: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in file folders and stored in file cabinets in each District Director's office within Region IX, Chicago, Illinois.

Retrievability: Each file is identified by the name of the container station operator.

Safeguards: The file cabinets are maintained within the area assigned to the District Director. During non-working hours, the room and/or building in which the file cabinet is located is locked.

Retention and disposal: These files are retained indefinitely. Employee name data retained for period of employment with container station operator.

System manager(s) and address: District Director, each district within Region IX, Chicago, Illinois. See Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person

under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this file originates from the individual applicant for container station operator bond, from reports of investigation and other Customs memoranda.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.058

System name: Cooperating Individual Files—Treasury/Customs.

System location: These files are located in regional and local Customs Patrol Offices within the United States. See Customs Appendix A.

Categories of individuals covered by the system: Persons providing confidential information to the U.S. Customs Patrol Division.

Categories of records in the system: These records include: assumed names; actual names; code numbers; addresses; telephone numbers; physical descriptions; miscellaneous identifying numbers such as Social Security numbers, driver's license number, etc.; date individual's record was established; amount and date of reward paid for information supplied.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information in this system is used primarily by the Customs Patrol Officer who receives confidential information for the purpose of detecting and apprehending suspected violators of Customs and related laws, and for the purpose of processing the payment of rewards for information received. Disclosure may be made only in extremely rare and unusual situations when demands of law or justice require that information be supplied to such organizations as Federal, state and/or other agencies.

For additional routine uses see Appendix AA.

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

Storage: All files and indices relating to cooperating individuals are stored in metal file cabinets secured with combination locks in a government secured building.

Retrievability: The name of each cooperating individual is filed in alphabetical order by assumed name and by actual name. The indices are maintained in the same alphabetical order and are also cross-referenced by the Patrol Division alpha numeric code number. All other identifying data is used for verification of identity rather than method of retrieval.

Safeguards: In addition to being stored in secure metal cabinets with government approved locks, the metal files are kept locked when not in use and located in a closely watched room of the Patrol Division. Personnel maintaining the files are selected for their reliability among other qualities, and they are afforded access only after having been cleared by a full field investigation. The files are given the same treatment as material classified as Secret. During duty hours, Patrol Division personnel maintain visual control and during off-duty hours the area containing the files is locked.

Retention and disposal: Indefinite retention periods have been established for almost all records contained in the file. When a file no longer has any utility, it is destroyed by either shredding or burning.

System manager(s) and address: The Regional Patrol Director in Regional Customs Patrol Offices; the District Patrol Director in District Patrol Offices; and the Supervisory Customs Patrol Officer in suboffices of District Customs Patrol. See Customs Appendix A.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.059

System name: Correspondence Log for the Classification and Value Division—Treasury/Customs.

System location: Classification & Value Division, U.S. Customs Service, 55 East Monroe, Suite 1501, Chicago, Illinois 60603.

Categories of individuals covered by the system: Operations Officers in the Classification & Value Division, Chief, Import Liquidation Branch and Chief, Drawback Liquidation Branch.

Categories of records in the system: Name of assignee, description of correspondence, control number, date received and date completed.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Log book in desk.

Retrievability: Log by Assignee name.

Safeguards: Kept in desk, building locked during non-working hours.

Retention and disposal: Kept for one year, filed for one year, then destroyed.

System manager(s) and address: Director, Classification & Value Division, U.S. Customs Service, 55 East Monroe, Suite 1501, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Incoming correspondence and direct management assignments.

Treasury/Customs 00.060

System name: Counseling Reports—Treasury/Customs.

System location: Equal Employment Opportunity Officer, U.S. Customs Service, Region VI, 500 Dallas Street, Suite 1240, Houston, Texas 77002.

Categories of individuals covered by the system: Present and past employees who have received counseling service offered by the Equal Employment Opportunity Officer or a designated counselor.

Categories of records in the system: Internal Customs Service memoranda, notes, excerpts from the official personnel files and other information pertinent to the counseling session(s).

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) To gather information to prove or disprove complainant's allegation and to resolve complaint informally, if possible; (b) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (c) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552); (d) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in a locked metal file cabinet drawer.

Retrievability: Each case file is identified on the alphabetical file folder within the metal file drawer.

Safeguards: The metal file cabinet described above is maintained within the area assigned to the Equal Employment Opportunity Officer. During non-working hours the office area is locked and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer adequate local storage space at which time they are transferred to the Federal Records Center at Ft. Worth, Texas.

System manager(s) and address: Equal Employment Opportunity Officer, U.S. Customs Service, Region VI, 500 Dallas Street, Suite 1240, Houston, Texas 77002.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, 1301 Constitution Ave., N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in these files originates with the receipt of a complaint by an employee. Additional information may be obtained from the employee's official personnel file and inquiries concerning the specific complaint.

Treasury/Customs 00.061

System name: Court Case File—Treasury/Customs.

System location: Office of the Regional Counsel, Room 7422, New Federal Building, 300 N. Los Angeles St., Los Angeles, California 90053.

Categories of individuals covered by the system: Persons who are parties in litigation with the United States Government or subunits or employees or officers thereof, in matters which affect or involve the United States Customs Service.

Categories of records in the system: Court documents with exhibits, reports of investigations, internal Customs Service memoranda summarizing or relating to the matter in controversy and other background information relating to the subject matter or origin of the litigation.

Authority for maintenance of the system: 28 U.S.C. 2676, 19 U.S.C. 1603, E.O. 6166, 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information contained in this file is maintained for the use of the Regional Counsel and may be made available to the appropriate United States Attorney upon request to assist him in representing the interests of the Government, the agency or officer or employee involved in the litigation, or to other agencies involved in the same or similar litigation. Disclosure to Treasury and Customs employees who have need for the records in the performance of their duties and disclosures under the Freedom of Information Act.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified by the name of the person against whom the Government has initiated the litigation, or by the name of the person who initiated the litigation against the Government.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Regional Counsel within the New Federal Building. During nonworking hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest closed files are transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel, Room 7422, United States Customs Service, 300 N. Los Angeles St., Los Angeles, California 90053.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, 300 N. Los Angeles St., Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison

of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with a request by a District Director to the appropriate United States Attorney that he institute suitable judicial action to enforce the forfeiture of merchandise and vehicles, or the value thereof, which had been imported or used in violation of the Customs laws, and upon which final administration action has taken place. Information in this file also originates with the filing of a complaint by a private person against the Government, and by the filing of a complaint by the Government against private persons or former employees to enforce the collection of debts due the Government. Information in the files is also derived from reports of investigation regarding the enforcement of civil or criminal statutes and denial of tort claims.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.062

System name: Court Case Files (Region VIII)—Treasury/Customs.

System location: Office of the Regional Counsel, 15th Floor, Federal Bldg., 450 Golden Gate Ave., S.F. CA 94102.

Categories of individuals covered by the system: Persons who are parties in litigation with the United States Government or subunits or employees or officers thereof, in matters which affect or involve the United States Customs Service.

Categories of records in the system: Litigation report requests and responses thereto, reports of investigations, internal Customs Service memoranda summarizing or relating to the matter in controversy and other background information relating to the subject matter or origin of the litigation.

Authority for maintenance of the system: 5 U.S.C. 301, Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; Reorganization Plan No. 1 of 1965, 28 U.S.C. 507, 19 U.S.C. 1603, E.O. 6166.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Information contained in these files is routinely provided to the Department of Justice or individual U.S. Attorneys upon request to assist that Department or individual U.S. Attorney in representing the interests of the Government, the agency or officer or employee involved in the litigation, or to other agencies involved in the same or similar litigation. Files are often channeled through the office of the Chief Counsel of Customs and the Treasury Department; (d) Information contained in these files may also be used internally by the Regional Counsel or members of his staff insofar as it relates to precedent or guidelines for handling subsequent cases.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal file cabinet.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person who initiated the litigation

against the Government, agency, officer or employee or by the name of the person against whom the Government initiated the litigation. In addition each case file is similarly identified on the alphabetical file folder within the metal file cabinet.

Safeguards: The metal file cabinet described above is maintained within the area assigned to the Regional Counsel within the Federal Building, 450 Golden Gate Ave., San Francisco. During non-working hours the room in which the metal file cabinet is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer any space available for them within the metal file cabinet, at which time some files may be transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel, Room 15001, United States Customs Service, 450 Golden Gate Ave., San Francisco, Calif. 94102.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with the receipt of a litigation report request from the Department of Justice or an individual United States Attorney which results in a written report to that Department or U.S. Attorney regarding the facts of the particular case. Information in this file is also derived from reports of investigation regarding the enforcement of civil or criminal statutes, administrative proceedings regarding disciplinary action taken against Customs Service employees, equal employment opportunity complaints, denials of tort claims, denials of information requested under the Freedom of Information Act, and the collection of debts due the Government.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.063

System name: Court Docket Records System—Treasury/Customs.

System location: Office of the Regional Counsel, U.S. Customs Service, Region IX, 55 E. Monroe Street, Room 1417, Chicago, Illinois 60603.

Categories of individuals covered by the system: Persons either suing or being sued by the U.S. Customs Service in civil actions for damages; recovery or enforcement of obligations to U.S. Customs, including duties, tort claims, fines, penalties, forfeitures, seizures; reversal of adverse personnel actions, and any other proceeding in U.S. District Courts and U.S. Circuit Courts of Appeal, involving the U.S. Customs Service and/or officers and employees of the U.S. Customs Service in their official capacity, or persons accused of violation of laws enforced by the United States Customs Service.

Categories of records in the system: Court pleadings, litigation report requests and responses thereto, reports of investigations, internal Customs Service memoranda summarizing or relating to the

matter in controversy and other background information relating to the subject matter or origin of litigation.

Authority for maintenance of the system: 28 U.S.C. 2676, 19 U.S.C. 1603, 28 U.S.C. 2671 et. seq.; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Information contained in this file is provided as a routine use to the Department of Justice to assist that department in representing the interest of the Government, the agency or officer involved in the litigation, or to other agencies involved in the same or similar litigations. Files are often channeled through the Department of the Treasury.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in a file folder which is filed in a lockable drawer within a metal filing cabinet container.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the plaintiff in a proceeding against the U.S. Government, Customs Service, and/or employee, or by the name of the defendant in proceedings brought by the government. In addition, each case file is similarly identified on the file folder with the alphabetical name on the file which is placed and located within the metal container.

Safeguards: The metal file drawer containing the files described above is maintained within the area assigned to the office of the Regional Counsel, Region IX, at 55 E. Monroe Street, Chicago, Illinois. During non-working hours, the room in which the metal filing drawer is located is locked, the file container itself is locked, and access to the building is controlled at all times by uniformed guards with a check-in system for employees. Only employees of the Regional Counsel's office and authorized building personnel have keys to the building.

Retention and disposal: These files are retained indefinitely or until there is no longer space available for them within the metal filing cabinet at which time the oldest files are transferred to the storage area within the confines of the office. The storage area is a large area containing cardboard boxes and metal storage cabinets which are not able to be locked. Files which are closed and not retained for precedent purposes are retired to the Federal Records Center, General Services Administration, 7358 S. Pulaski, Chicago, Illinois 60602, in accordance with the U.S. Customs Service Records Disposal Manual.

System manager(s) and address: Regional Counsel of Customs, Room 1417, United States Customs Service, 55 E. Monroe Street, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with the receipt of a litigation report request from the Department of Justice which is channeled through the Treasury Department, or with the receipt of a court pleading from one of the members of the U.S. Customs Service. Information in this file is derived from reports of investigations regarding the enforcement of civil or criminal statutes, administrative proceedings regarding disciplinary action taken against Customs Service employees, equal opportunity complaints, denials of tort claims plus tort claim information, denials of information under the Freedom of Information Act request, and the collection of debts due the Government.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.064

System name: Credit Card File—Treasury/Customs.

System location: Logistics Management Division, U.S. Customs Service Headquarters, Room 1415, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Headquarters Customs Service Employees to whom national gasoline credit cards and Hertz and Avis automobile rental cards have been issued.

Categories of records in the system: Credit card numbers, names, and signatures of employees to whom credit cards have been issued, and the date of issuance.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. Such duties may include: maintaining an inventory of gasoline credit cards and automobile rental cards which are assigned to high level Customs Service officials or which are issued on a one transaction basis to other Customs Service officials or employees for their use in connection with the performance of their official duties; ensuring accountability for the cards issued; and providing a means for collecting issued cards when they are no longer needed by the officers or employees to whom they were issued; (b) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto.

For additional routine uses see Appendix AA.

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

Storage: The information in this system is contained on index cards which are placed in a locked metal file cabinet within one office.

Retrievability: A portion of the index cards are identified by the name of the person to whom the credit card was issued in the case of credit cards which have been permanently assigned to higher level Customs Service officers and such index cards are filed alphabetically. The remainder of the index cards relate to credit cards which are issued to Customs Service officers or employees on a one transaction basis, and these index cards are filed by the applicable credit card number.

Safeguards: The metal cabinet in which the index cards are placed is locked, and the room in which the metal cabinet is located is locked during non-working hours. The building is guarded by uniformed security police, and only authorized persons are permitted in the building.

Retention and disposal: Index cards filed alphabetically by name are retained during the period that the officials named thereon are in possession of the credit cards, and these index cards are disposed of when the officials are no longer in possession of the credit cards. Index cards filed by credit card number are retained until all signature lines have been used, at which time these index cards are discarded.

System manager(s) and address: Chief, Headquarters Support Branch, Logistics Management Division, U.S. Customs Service Headquarters, Room 1337, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or will-

fully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this system is obtained from Customs Service records and is also furnished by the officers or employees to whom the credit cards have been issued.

Treasury/Customs 00.065

System name: Crew Declarations File—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif; Offices of the Port Directors, San Ysidro, Calif; Tecate, Calif; Calexico, Calif; Andrade, Calif; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif; San Ysidro, Calif; Calexico, Calif; Tecate, Calif; according to Customs Appendix A.

Categories of individuals covered by the system: Each crewmember presents a crew declaration to a Customs Officer at the first Port of Arrival when coming from a foreign Port.

Categories of records in the system: Name, Rank, DOB, passport number, description of crewmember's purchases, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended and Customs Regulations, and Customs Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure of those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. Maintain record of crewmembers' arrival and their purchases for duty purposes.

For additional routine uses see Appendix AA.

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

Storage: Stored in file cabinets.

Retrievability: Vessel, name, flight number, date of arrival and individual's name.

Safeguards: None.

Retention and disposal: 3 years.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District. See Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Con-

stitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: From each individual crewmember arriving from foreign countries.

Treasury/Customs 00.066

System name: Crew List File—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif; Offices of the Port Directors, San Ysidro, Calif; Tecate, Calif; Calexico, Calif; Andrade, Calif; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif; San Ysidro, Calif; Calexico, Calif; Tecate, Calif. See Customs Appendix A.

Categories of individuals covered by the system: Information on individuals who are serving as members of ship's crew.

Categories of records in the system: Name, position, address, and nationality, social security number, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended and the Customs Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule.

regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. Maintain list of all ship's company, both aircraft and vessel, for Immigration clearances and/or numbers or individuals who must be processed by Customs upon arrival from foreign Ports.

For additional routine uses see Appendix AA.

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

Storage: File drawer.

Retrievability: Vessel's name, manifest number, date of arrival, and name.

Safeguards: None.

Retention and disposal: 3 years and then forwarded to Federal Records Center for 5 years.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District. See Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071—Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A

comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Masters of Vessels, Carriers.

Treasury/Customs 00.272

System name: Currency Declaration File (IRS Form 4790)—Treasury/Customs.

System location: One or more offices of District Directors of Customs or suboffices under the District Director's jurisdiction (for addresses of District Directors, see Customs Appendix A).

Categories of individuals covered by the system: Individuals departing from or entering the country who filed IRS Form 4790.

Categories of records in the system: Name, identifying number, birthdate, address, citizenship, visa date and place, immigration alien number, kinds and amounts of monetary instruments, address in the United States or abroad, passport number and country, and arrival or departure information.

Authority for maintenance of the system: 31 U.S.C. 1101; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; such duties include referencing and verifying currency declarations filed; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552);

For additional routine uses see Appendix AA.

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

Storage: The Form 4790 is maintained in a file folder or binder in an open storage rack.

Retrievability: They are indexed and filed by name in the folder or binder.

Safeguards: The office and building are locked during nonworking hours.

Retention and disposal: The records are retained from one to five years and then destroyed.

System manager(s) and address: District Directors of Customs.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the

requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information on the IRS Form 4790 originates from the individual or Customs agent reporting the bringing in or taking out of currency or monetary instruments exceeding 5,000 dollars.

Treasury/Customs 00.067

System name: Currency and Monetary Instrument Reporting System (CMIR)—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W.; Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Listing of Individuals who filed Internal Revenue Service Form 4790 (Currency and Monetary Instrument Report).

Categories of records in the system: Name of individuals filing form, name of owner of monetary instrument, amount of currency reported, address, personal identifiers, date of birth, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (f) Records the fact that the individual of record conveyed the monetary instruments into or out of the United States.

For additional routine uses see Appendix AA.

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

Storage: Magnetic tapes.

Retrievability: By name and other unique identifiers.

Safeguards: Procedural and physical safeguards are utilized such as accountability and receipt access, guards patrolling the area, restricted access and alarm protection systems, special communication security, etc.

Retention and disposal: Indefinite.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W.; Room 3117, Washington, D.C. 20229.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.068

System name: Customhouse — Brokers Examination Records—Treasury/Customs.

System location: Duty Assessment Division, U.S. Customs Service Headquarters, Room 4218, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Persons who have taken the customhouse brokers' examination.

Categories of records in the system: The name of the examinee, the Customs district where the examination was taken, the examination date and the examination grade.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended. 19 U.S.C. 66, 1641; 19 CFR Part 111.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. Such uses would include informing examinees of examination results, retention for statistical purposes and for general reference for the examinees and Duty Assessment Division employees. (b) Disclosures required in administration of the Freedom of Information Act (U.S.C. 552).

For additional routine uses, see Appendix AA.

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

Storage: The records are kept in a file drawer in the offices of the Duty Assessment Division.

Retrievability: The records are maintained on four by six inch index cards and are filed alphabetically.

Safeguards: During working hours, employees of the Duty Assessment Division are present in the offices where the records are maintained and the U.S. Customs Service Headquarters building is guarded by security police. During non-working hours the offices are locked and the building is guarded by security police.

Retention and disposal: The current policy of the Duty Assessment Division is to retain the records indefinitely.

System manager(s) and address: Director, Duty Assessment Division, U.S. Customs Service Headquarters, Room 4218, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him con-

tained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information supplied by examinees on the customhouse brokers' examinations.

Treasury/Customs 00.069

System name: Customhouse Brokers File, Chief Counsel—Treasury/Customs.

System location: Office of the Chief Counsel, Room 3305, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Licensed customhouse brokers.

Categories of records in the system: Internal Customs Service memoranda and related material regarding proposed administrative disciplinary action against customhouse brokers for violation of the regulations governing the conduct of their business.

Authority for maintenance of the system: 19 U.S.C. 1641; 19 CFR Part 111; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552). (c) In order to carry out the authority to discipline customhouse brokers for violation of regulations promulgated pursuant to 19 U.S.C. 1641, information in this file is used to evaluate reported derelictions and to recommend to the Commissioner of Customs that disciplinary action be initiated or to recommend that such action not be taken. In addition, information in these files is used to prepare written reprimands issued to brokers and to prepare proposed charges in connection with recommendations that proceedings be held looking toward the suspension or revocation of brokers' licenses. Information in these files is also used in connection with administrative proceedings looking toward the suspension or revocation of licenses. (d) In addition, information contained in these files is provided to the Department of Justice for its use in connection with appeals from orders resulting in the suspension or revocation of licenses. (e) The information may be furnished to other Government agencies which have an interest in the situations that led to the disciplinary action, or in the broker.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the customhouse broker and in the alphabetical file folder within the metal container by the name of the customhouse broker.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Chief Counsel within the Customs Service Building. During non-working hours the room

in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: Customhouse broker files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Record Center.

System manager(s) and address: Chief Counsel, Room 3305, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates from audits of or investigations into the conduct of customhouse brokers' businesses which include review of customhouse brokers' business records and interviews of Customs Service personnel, private parties, customhouse brokers and employees of customhouse brokers. The audits or investigations result in recommendations from appropriate Customs Service field personnel regarding possible disciplinary action against customhouse brokers which in turn result in the information contained in these files which consists of evaluations of the recommendations and the proposed disposition of the cases.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.070

System name: Customhouse Brokers, Headquarters Records—Treasury/Customs.

System location: Entry and Licensing Branch, Entry Procedures and Penalties Division, U.S. Customs Service Headquarters, Room 2335, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Citizens of the United States, 21 years of age or older, who have been granted individual customhouse brokers' license for specific U.S. Customs Districts and such individuals who have applied for an individual broker's license which has been denied for cause other than failure to pass the qualifying individual customhouse brokers' license examination.

Categories of records in the system: The records system contains executed individual customhouse brokers' license application forms, report of investigation concerning individual broker applicants, transmittal letters, and general correspondence corroborative of information disclosed in an individual's license application or report of investigation as to the applicant's character and business integrity. The records system also contains information relating to actual or proposed disciplinary action against licensed customhouse brokers.

Authority for maintenance of the system: 19 U.S.C. 1641, Part 111; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) Processing of individual applications for individual customhouse brokers' licenses; processing of corporation, partnership, and association brokers' licenses; approval of use of trade or fictitious brokers' names; maintenance of centralized files on licensed customhouse brokers for verification and updating of names, addresses, place of employment, district where licensed, and compliance with regulatory requirements of duties and obligations of customhouse brokers; determinations that each corporate, association, or partnership licensed as a broker have not less than two officers or members licensed as individual brokers; and the availability of file information to verify licensing of customhouse brokers and to provide data or information upon request to the Federal Maritime Commission, the Civil Aeronautics Board, an appropriate U.S. Attorney's office, or other Federal agency.

For additional routine uses see Appendix AA.

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

Storage: Each file is kept in an alphabetical file folder in metal file cabinets.

Retrievability: Each file is indexed in a file card system by alphabetical name and Customs district where located. Records are retrieved alphabetically by reference to the card file index, or by license certificate number assigned to a broker upon the granting and issuing of a customhouse broker's license. Cancelled brokers' records are maintained in cancelled files arranged alphabetically.

Safeguards: Direct access to the files is limited to Customs employees assigned to processing and reviewing Customhouse brokers' license applications. At least one employee of the Entry and Licensing Branch is present in the office at all times during working hours. At all other times the room is locked. The building is guarded by security police on a round-the-clock basis, and only authorized persons are permitted in the building.

Retention and disposal: Cancelled Customhouse brokers' records are retained in cancelled files and used for precedent purposes. The records are maintained indefinitely.

System manager(s) and address: Director, Entry Procedures and Penalties Division, U.S. Customs Service Headquarters, Room 2416, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: Information in the records is obtained from the license applications of the individual Customhouse brokers; references as to good character and integrity of the applicant; reports of investigations by Customs regarding applicants for licenses and disciplinary action; responses to posted notices of individual applicants applying for Customhouse brokers' licenses; local credit reporting services; Customs audit reports; court records.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.071

System name: Customhouse Brokers Records—Treasury/Customs.

System location: Customs regional, district and port offices. See Customs Appendix A.

Categories of individuals covered by the system: Individuals and firms who have applied for or hold status as a licensed customhouse broker and individuals employed by licensed customhouse brokers.

Categories of records in the system: License applications, internal Customs memoranda and related materials regarding background investigations, complaints, names, addresses, social security numbers, dates and places of birth, investigative reports, telephone numbers, credit information and other related business data. Information on disciplinary action and legal actions regarding the customhouse broker.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended, 19 U.S.C. 1641; 19 CFR Part 111.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) In order to carry out the authority to discipline customhouse brokers for violation of regulations promulgated pursuant to 19 U.S.C. 1641, information in this file is used to recommend to the Commissioner of Customs that disciplinary action be initiated or to recommend that it used to prepare written reprimands issued to brokers and to prepare proposed charges in connection with recommendations that proceedings be held looking toward the suspension or revocation of brokers' licenses. Information in these files is also used in connection with administrative proceedings looking toward the suspension or revocation of licenses. (d) In addition, information contained in these files is provided to the Department of Justice for its use in connection with appeals from orders resulting in the suspension or revocation of licenses. (e) The information may be furnished to other Government agencies which have an interest in the situations that led to the disciplinary action, or in the broker.

For additional routine uses see Appendix AA.

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

Storage: The records are maintained in file folders in drawers and metal file cabinets.

Retrievability: The records are filed either alphabetically or chronologically with a cross index by name.

Safeguards: Offices in which the records are maintained are locked during non-working hours. Office buildings are locked and/or patrolled by uniform guards during non-working hours.

Retention and disposal: Records are maintained either indefinitely or as long as the customhouse broker retains an active license.

System manager(s) and address: Customs Regional commissioners, district directors, and port directors.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where

the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: Information contained in the license applications, references as to good character and integrity of the applicant, reports of investigations on applications and disciplinary action, local credit reporting services, Customs audit reports and court records.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.072

System name: Customs Brokers Records
(Headquarters)—Treasury/Customs.

System location: Entry and Licensing Branch, Entry Procedures and Penalties Division, U.S. Customs Service Headquarters, Room 2335, 1201 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Citizens of the United States, 21 years of age or older, who have been granted individual customhouse brokers' licenses for specific U.S. Customs Districts and such individuals who have applied for an individual broker's license which have been denied for cause other than failure to pass the qualifying individual customhouse brokers' license examination.

Categories of records in the system: The records system contains executed individual customhouse brokers' license application forms, reports of investigation concerning individual broker applicants, transmittal letters, and general correspondence corroborative of information disclosed in an individual's license application or report of investigation as to the applicant's character and business integrity. The records system also contains information relating to actual or proposed disciplinary action against licensed customhouse brokers.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; 19 U.S.C. 1641, 19 CFR Part III.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. Such uses would include the processing of individual applications, verification and updating of names, addresses, place of employment and other information in the records, review of records to assure compliance with regulatory requirements regarding duties and obligations of customhouse brokers, review of records to decide whether to approve the use of trade or fictitious brokers' names, and review of files to determine that partnerships or corporations licensed as customhouse brokers have not less than two officers or members licensed as individual brokers; (b) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or order issued pursuant thereto. Such

uses would include referring records to the Federal Maritime Commission, the Civil Aeronautics Board, the office of an appropriate U.S. Attorney or other Federal agency. For additional routine uses see Appendix AA.

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

Storage: Each file is kept in an alphabetical file folder in metal file cabinets.

Retrievability: Each file is indexed in a card file system by alphabetical name and Customs district where located. Records are retrieved alphabetically by reference to the card file index, or by license certificate number assigned to a broker upon the granting and issuing of a customhouse broker's license. Cancelled brokers' records are maintained in cancelled files arranged alphabetically.

Safeguards: Direct access to the files is generally limited to Customs employees assigned to processing and reviewing customhouse brokers' license applications. During non-working hours the offices are locked and the building is guarded by security police.

Retention and disposal: Cancelled customhouse brokers' records are retained in cancelled files and used for precedent purposes. The records are maintained indefinitely.

System manager(s) and address: Chief, Entry and Licensing Branch, Entry Procedures and Penalties Division, U.S. Customs Service Headquarters, Room 2335, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature. If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information in the records is obtained from the license applications of the individual customhouse brokers, references as to good character and integrity of the applicant, reports of investigations by Customs regarding applications for licenses and disciplinary action responses to posted notices of

individual applicants applying for customhouse brokers' licenses, local credit reporting services, Customs audit reports and court records.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (k)(2) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.073

System name: Customs Fugitive Program—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W.; Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Those persons for which an outstanding arrest warrant exists.

Categories of records in the system: Contains identification and warrant data on those individuals who have become Customs fugitives.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal, or other relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (f) The system may be utilized by authorized personnel of any enforcement agency having access to either TECS or NCIC, with the purpose of identifying and apprehending these fugitives.

For additional routine uses see Appendix AA.

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

Storage: (1) Magnetic disc and tape storage, (2) Hard copy printout, (3) Microfiche.

Retrievability: Indexing by name.

Safeguards: All inquiries are made by duly authorized officers with a "need to know" basis. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, special communications security, etc.

Retention and disposal: (1) Permanent microfiche record. (2) Magnetic disc/tapes and hardcopy are maintained until apprehension of the individual or dismissal. (3) Erasure of disc/tape storage, shredding or burning of hardcopy.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W.; Room 3117, Washington, D.C. 20229.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from

which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.074

System name: Customs Licensing and Identification Program (Proposed)—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W.; Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Carriers, Bonded Cartmen, Lightermen, Customhouse Brokers, and private citizens applying for U.S. Customs Bonds or Licenses.

Categories of records in the system: Individual Records on Carriers, Customhouse Licensed Brokers, Customhouse Cartmen and Lightermen and individuals doing business with the U.S. Customs Service.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (f) Personal identification of the licensee. (g) Provides basis for granting of Customs license and/or bonds. (h) Provides basis for update investigation every five years.

For additional routine uses see Appendix AA.

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

Storage: (1) Magnetic disc and tape, (2) Microfiche, (3) Hardcopy.

Retrievability: Name of individual or company and/or personal or company identifiers.

Safeguards: "Need to know" access by investigators and District Directors' staff members with full field background investigations. Procedural and physical safeguards are utilized such as accountability and receipt access, guards patrolling the areas, restricted access and alarm protection system, special communications security, etc.

Retention and disposal: Indefinite (Reviewed annually; investigation updated every five years.)

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W.; Room 3117, Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in per-

son, the requester shall present adequate identification to establish his identity and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Classification and Value Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The applicants who apply for a Customs license or bond and Customs Officers investigating cases involving Customs Licenses or Bonds.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.075

System name: Customs Officer Badge Inventory—Treasury/Customs.

System location: Logistics Management Division, U.S. Customs Service Headquarters, Room 1415, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Customs Service officers to whom badges are issued.

Categories of records in the system: Signed receipts and officer's name, social security number, and badge number.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. Such duties may include maintaining administrative control over badges, providing for accountability for badges, and providing a means for collecting badges from officers who are leaving the Customs Service or who no longer have a need for the badge. (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552). (c) In the event that this system of records includes information

which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

For additional routine uses see Appendix AA.

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

Storage: The information in this system is contained on index cards within a file box which is placed in a locked metal cabinet within the supply room office. In addition, the information is contained in a Customs Service computer record system.

Retrievability: Each index card is identified by the name of the person to whom the badge is issued and these cards are filed in alphabetical order. The computer records are accessed by the badge number.

Safeguards: The metal cabinet in which the index cards are placed is locked, and the room in which the metal cabinet is located is locked when the supply clerk is absent from the room and during non-working hours. The building is guarded by uniformed security police, and only authorized persons are permitted in the building. With regard to the computer records, procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access, and alarm protection systems.

Retention and disposal: Each index card and each computer record is maintained during the period in which the officer is in possession of the badge. The index cards are discarded, and the information in the computer is erased when the officer no longer has possession of the badge.

System manager(s) and address: Chief, Headquarters Support Branch, Logistics Management Division, U.S. Customs Service Headquarters, Room 1337, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this system is furnished to the Customs Service by the officers to whom the badges are issued.

Treasury/Customs 00.076

System name: Custom Patrol Officer (CPO) Daily Activity Reporting System—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W.; Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: All Customs Patrol Officers.

Categories of records in the system: Type of work assigned, work performed, time work was done, area where work was performed, and activity performed on daily basis by each Patrol Officer.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Management uses such records for keeping qualification and work experience of employees up to date. To facilitate manpower employment and improve productivity.

For additional routine uses see Appendix AA.

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

Storage: (1) Magnetic disc and tape storage. (2) Hard copy printouts.

Retrievability: By name, social security number, code of area worked, type of activity performed.

Safeguards: Inquiries for special printouts and reports can be made only by management. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, etc.

Retention and disposal: Until employee transfers out of the Patrol organization or the record is no longer needed for statistical information. Erasure of tapes and discs; printouts are retired to Federal Records Center and will be destroyed after 5 years.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W.; Room 3117, Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Customs Patrol Officer Activity Report (Customs Form 169) which is filled out by a Customs Patrol Officer.

Treasury/Customs 00.077

System name: Disciplinary Action and Resulting Grievance or Appeal Case Files—Treasury/Customs.

System location: Located in the Personnel Management Division of each Region and Headquarters, and in District, Port, and appropriate post of duty offices. (See Customs Appendix A).

Categories of individuals covered by the system: Customs employees on whom disciplinary action is pending or has occurred.

Categories of records in the system: Records on such action as leave restriction letters, reprimands, suspension, adverse actions, etc., and resulting grievance or appeal by employee. Copies of correspondence, management requests for assistance, evidentiary materials on which action is contemplated, proposed or taken, regulatory material, examiners' reports, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (f) Used by certain members of the Personnel Management Division or

supervisors in justifying action, for maintenance of records in the event of appeals or grievances, for statistical use, for audit and review of actions, for recommendations on decision, for uniform disciplinary actions, for proper handling of potential grievance or appeal, to establish grievance or appeal file.

For additional routine uses see Appendix AA.

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

Storage: Records are stored in manila folders.

Retrievability: Records are indexed by name.

Safeguards: Records are maintained in a locked file and stamped "For Official Use Only".

Retention and disposal: Records are maintained for five years and then transferred to Federal Records Center where they are maintained for fifteen years and then destroyed.

System manager(s) and address: Director, Personnel Management Division, in each region and Headquarters, or appropriate managerial official in employee's district, port, or post of duty. (See Custom Appendix A).

Record source categories: Supervisors and supervisory records and notes; evidentiary materials supporting planned, proposed, or accomplished actions; grievance letters submitted by employee, grievance examiner, etc.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.078

System name: Disclosure of Information File—Treasury/Customs.

System location: Office of Regional Counsel, Room 125, U.S. Customhouse, 40 South Gay Street, Baltimore, Maryland 21202.

Categories of individuals covered by the system: Persons requesting access to information pursuant to the Freedom of Information Act or any other statute, regulation, directive or policy to disclose such information.

Categories of records in the system: Requests, information, records, documents, internal Customs Service memoranda, or memoranda from other agencies and related materials regarding disclosure of the information.

Authority for maintenance of the system: 5 U.S.C. 552, 31 CFR Part 1, 19 CFR Part 103, 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Disclosure or denial to the requester of the information sought; (d) Disclosure to the Department of Justice and/or United States Attorney in any litigation arising from any decision regarding the disclosure of information.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in the file folder within the metal container by the name of the person requesting disclosure.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Regional Counsel within the Customhouse. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: Customhouse broker files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel, Room 125, U.S. Customhouse, 40 South Gay Street, Baltimore, Maryland 21202.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (See Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates from the requests for information filed with the Customs Service which may pertain to any information contained in the files of the U.S. Customs Service.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.079

System name: Disclosure of Information File—Treasury/Customs.

System location: Office of the Regional Counsel, U.S. Customs Service, Region IX, 55 E. Monroe Street, Room 1417, Chicago, Illinois 60603.

Categories of individuals covered by the system: Requesters under the Freedom of Information Act.

Categories of records in the system: Correspondence containing the individual's name, address, and whatever information deemed necessary to locate record being sought if that record is of a personal nature. Information will also include whatever records relating to that individual are sought and ultimately are gathered for use in denying or granting the Freedom of Information Act request.

Authority for maintenance of the system: 5 U.S.C. 552; U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service, the Department of the Treasury, and the Department of Justice who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation of charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the

letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (f) Information contained in this file is used by the attorneys in the Regional Counsel's office in determining whether to recommend granting or denial of the request made pursuant to the Freedom of Information Act. Litigation regarding the Freedom of information request will require disclosure of the information to the Department of Justice and the appellate level before this step would require information to be disclosed to the Department of the Treasury. Information disclosed to the Department of Justice is often routed through the Department of the Treasury.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in a file folder which is filed in a lockable drawer within a metal filing cabinet.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person who initiated the Freedom of Information Act request. In addition, each case file is similarly identified on the file folder with the alphabetical name on the file which is placed and located within the metal container.

Safeguards: The metal filing drawer containing the files described above is maintained within the area assigned to the Office of the Regional Counsel, Region IX at 55 E. Monroe Street, Chicago, Illinois. During non-working hours, the room in which the metal filing drawer is located is locked, the file container itself is locked, and access to the building is controlled at all times by uniformed guards with a check-in system for employees. Only employees of the Regional Counsel's office and authorized building personnel have keys to the building.

Retention and disposal: These files are retained indefinitely or until there is no longer space available for them within the metal filing cabinet at which time the oldest files are transferred to the storage area within the confines of the office. The storage area is a large area containing cardboard boxes and metal storage cabinets which are not able to be locked. Files which are closed and not retained for precedent purposes are retired to the Federal Records Center, General Service Administration, 7358 S. Pulaski, Chicago, Illinois 60602, in accordance with the U.S. Customs Service Records Disposal Manual.

System manager(s) and address: Regional Counsel of Customs, Room 1417, United States Customs Service, 55 E. Monroe Street, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Custom Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information in these files can originate from the U.S. Customs Service, any of the agencies of the Treasury Department, or any agency of the Government if the record sought and ultimately placed within the file is within the

possession and/or control of the U.S. Customs Service, Region IX. However, the only information placed within these files is that information being sought by the individual making the request and the information supplied by the requester. The information being sought, and therefore within the file, could be from any of the following, given as examples: present or former Customs employees, private parties, corporations, other Government agencies as outlined above, credit bureaus, past employers, official Government or other forms filed by any entity or person, confidential informers, foreign countries or officials thereof, and foreign citizens.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.080

System name: Disclosure of Information Request Files (Region VIII)—Treasury/Customs.

System location: Office of the Regional Counsel—15th Floor, Federal Building, 450 Golden Gate Avenue, San Francisco, CA 94102.

Categories of individuals covered by the system: Individuals who have submitted requests for disclosure of information contained within files or records of the Customs Service.

Categories of records in the system: Letters and other documents submitted by the individual requesting the disclosure and documents relating to the internal review and consideration of the request for disclosure and the decision thereon.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; Reorganization Plan No. 1 of 1965; 31 CFR 1.5 and Appendix C; 5 U.S.C. 552(a)(3); 19 CFR Part 103.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Information contained in the files is used to process requests for disclosure and is made available to the officials within the Customs Service who review recommendations and who make final decisions with respect to them; (d) Information contained in an individual file may be made available to officials within the Customs Service responsible for considering and making a final decision with respect to any appeal from a decision denying disclosure in that case; (e) Information contained in the files may also be used internally by the Regional Counsel and members of his staff insofar as it related to precedent or guide lines for their handling of subsequent cases.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal file cabinet.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the requester and in the alphabetical file folder within the metal file cabinet by the name of the requester.

Safeguards: The metal file cabinet described above is maintained within the area assigned to the Office of the Regional Counsel within the Federal Building. During non-working hours the room in which the metal file cabinet is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: Disclosure of information files are retained indefinitely or until there is no longer any space available for them within the metal file cabinet, at which time files may be transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel, Room 15001, Federal Building, 450 Golden Gate Avenue, San Francisco, CA 94102.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in

which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: Information contained in these files originates with the individual's request for disclosure of information. Records are searched for the information which is the subject of the request, and advice and recommendations with respect to the information and its disclosure may be elicited and received from offices within Customs, other agencies, or private individuals concerned with the information.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.081

System name: Dock Passes—Treasury/Customs.

System location: District Director's office, U.S. Customs Service, 228 Federal Bldg., 335 Merchant Street, Honolulu, Hawaii.

Categories of individuals covered by the system: Consulate staff members; brokers, private individuals, etc.

Categories of records in the system: Form lists following information: pass no.; port; date of issue; name of individual; organizational affiliation; expiration date of pass; and vessel name.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Copy of each pass issued is retained for record purpose and a log maintained showing name of holders of annual dock passes. Disclosure to Customs and Treasury officers and employees who have a need for the records in the performance of their duties.

For additional routine uses see Appendix AA.

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

Storage: 3 x 5 card box loose leaf binder.

Retrievability: By name.

Safeguards: Building locked during non-working hours.

Retention and disposal: Retained until expiration.

System manager(s) and address: District Director, U.S. Customs Service, 228 Federal Bldg., 335 Merchant Street, Honolulu, Hawaii.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Individual applicants.

Treasury/Customs 00.277

System name: Drivers License File—Treasury/Customs.

System location: Logistics Management Division, U.S. Customs Service 450 Golden Gate Ave. San Francisco, Ca. 94102.

Categories of individuals covered by the system: Present and past employees.

Categories of records in the system: Personal information furnished by employee before being issued a government drivers license. It may also include information from National Driver Register Service if they have any information on the individual.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the U.S. Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Provide the proper authority within U.S. Customs Service with sufficient information to make a decision as to whether an employee may be issued a government drivers license; (d) Information from these records furnished to National Driver Register Service to determine whether they have any information on the individual which would concern the employee's suitability for receiving a government drivers license.

For additional routine uses see Appendix AA.

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

Storage: The information in this system is contained on Standard Form 47 (physical fitness inquiry for motor vehicle operators) and Treasury Form 2770 (application for motor vehicle operator's ID card and operator's record). These forms are kept in a desk file.

Retrievability: Each set of forms for a particular employee is numbered and those numbers are shown on an index sheet as pertaining to the particular employee.

Safeguards: The desk in which the records are kept is within an office which is locked during non-working hours.

Retention and disposal: Active forms are retained in this system indefinitely. Forms of past employees who were issued drivers licenses are periodically destroyed.

System manager(s) and address: Logistics Management Specialist, Logistics Management Division, U.S. Customs Service, Rm 2057, 450 Golden Gate Avenue, San Francisco, California 94102.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs at the region in which the Records are located (see Customs Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access Above.

Record source categories: The information in this system originates with, and consists solely of, information supplied by the applicants on forms SF-47 and form 2770. There is a possibility that in the future there will be a response from the National Driver Register Service on a particular applicant. At the present time there are none in this system of records.

Treasury/Customs 00.082

System name: Duty Assessment By Account (DABA), Interested Persons List—Treasury/Customs.

System location: Duty Assessment Division, U.S. Customs Service Headquarters, Room 4218, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Individuals and firms who have requested that their names be included on the list.

Categories of records in the system: The name of the individual or firm, title, and address.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Notifying individuals and firms of new information concerning DABA.

For additional routine uses see Appendix AA.

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

Storage: The records are kept in the offices of the Duty Assessment Division at U.S. Customs Service Headquarters.

Retrievability: The records are retrievable by the name of the individual or firm.

Safeguards: During working hours employees of the Duty Assessment Division are present in the offices where the records are located and the U.S. Customs Service Headquarters building is guarded by security police. During nonworking hours the offices are locked and the building is guarded by security police.

Retention and disposal: The listing is to be maintained until the DABA program is fully implemented, after which the listing will be destroyed.

System manager(s) and address: Director, Duty Assessment Division, U.S. Customs Service Headquarters, Room 4218, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access Above.

Record source categories: The individual or firm which requests inclusion on the list.

Treasury/Customs 00.273

System name: Employee Debts—Treasury/Customs.

System location: Financial Management Division, U.S. Customs Service, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Categories of individuals covered by the system: Employees involved in transfer within the Government for which the Government is pursuing collection for overpayment of travel expenses or overpayment for maintaining uniforms.

Categories of records in the system: Records reflecting the documents involved in the overpayment and correspondence with the employee involved and his representative.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) The system is used by the employees of the Payment Section to gather all the data necessary to collect debts due from present or past employees of Customs.

For additional routine uses see Treasury Appendix AA.

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

Storage: Data is stored in a file folder located in a file cabinet under the physical security of the Operating Accountant.

Retrievability: Records are indexed by name.

Safeguards: The file is located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted entry to the building.

Retention and disposal: The file is retained until the debt is collected and then destroyed. Unusual cases are retained indefinitely as a reference for similar type cases.

System manager(s) and address: Director, Financial Management Division, U.S. Customs Service, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in the system originates from the employee, other Regions of Customs, and the Payment Section of the Financial Management Division.

Treasury Customs 00.083

System name: Employee Relations Case Files—Treasury/Customs.

System location: Director, Personnel Management Division, U.S. Customs Service, Washington, D.C. 20229.

Categories of individuals covered by the system: Records maintained on all individuals who have requested assistance in a problem, such as: OFWC, leave, health and life insurance, etc.

Categories of records in the system: Copies of correspondence. Copies of initiating correspondence.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Use is in assessing the problem and having the capability to provide timely followup. Used by the employee relations staff only (professional and clerical).

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by name.

Safeguards: Records are maintained in a locked file.

Retention and disposal: Maintained for period of time employee remains with Customs. Records destroyed upon separation of employee.

System manager(s) and address: Director, Personnel Management Division, U.S. Customs Service, Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Con-

stitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Individuals and offices depending on problem.

Treasury/Customs 00.084

System name: Employee Relocation Allowances—Treasury/Customs

System location: Financial Management Division, 7370 N.W. 36th Street, Miami, Florida 33166.

Categories of individuals covered by the system: Customs Employees granted relocation allowances.

Categories of records in the system: Name, address and social security number of person granted allowance.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552). (c) Used administratively by Accounting personnel in support of allowances granted. Available for audit purposes.

For additional routine uses see Appendix AA.

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

Storage: Files are maintained in an unlocked drawer within a metal file cabinet.

Retrievability: Alphabetically by name of employee.

Safeguards: The metal container described above is maintained within the area assigned to the Financial Management Division

within the Customs Service building. During non-working hours the room in which the metal container is located is locked.

Retention and disposal: These files are retained as prescribed by GAD Regulations or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Director of Financial Management, 7370 N.W. 36th Street, Miami, Florida 33166.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: SF 1012—Travel Vouchers prepared by employees who have been granted the relocation allowances.

Treasury/Customs 00.085

System name: E.E.O. Complaint File—Treasury/Customs

System location: Regional Commissioner of Customs, 55 East Monroe Street, Suite 1501, Chicago, Illinois 60603, and District Director's Offices in Chicago, Cleveland and Detroit.

Categories of individuals covered by the system: Customs employees and applicants for Customs positions who make allegations of discriminatory job treatment based on sex, religion, race or national origin, color and age.

Categories of records in the system: An individual file is opened when an oral or written complaint is received. Eventually, a Civil Service Form 894 and all other pertinent correspondence such as responses from various offices, decisions and appeals are added to the file.

Authority for maintenance of the system: Title VII of the 1964 Civil Rights Act, as last amended by Public Law 92-261 effective March 24, 1972.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552). (c) The file is used to organize relevant documents within the E.E.O. office. As appropriate, it may also be transferred to such offices as Regional Counsel and Customs Service Headquarters.

For additional routine uses see Appendix AA.

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

Storage: Stored in file at Regional Commissioner of Customs, 55 East Monroe Street, Suite 1501, Chicago, Illinois, 60603.

Retrievability: Case file by last name of complainant.

Safeguards: The file cabinet is locked and only the E.E.O. Specialist has a key. Other keys will be available to additional staff as office expands. The building has limited access and a uniformed patrol in non-working hours.

Retention and disposal: Retained indefinitely by E.E.O. Specialist. When cases are closed, they are removed from the alphabetical file but still maintained in the same locked cabinet.

System manager(s) and address: E.E.O. Specialist. (See location above).

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information is supplied by complaining parties originally and supplemented by other interested parties as the case progresses.

Treasury/Customs 00.086

System name: EEO Complaints Processing—Treasury/Customs.

System location: In possession of designated EEO Counselors located throughout Customs Region IV, Miami (See Customs Appendix A).

Categories of individuals covered by the system: Employees and applicants for employment who have filed discrimination complaints with EEO Counselors.

Categories of records in the system: Notes of action taken by Counselor on behalf of complainant in discrimination complaint cases. Notes of interviews with the complainant, instructions given complainant and talks with others on behalf of complainant.

Authority for maintenance of the system: Executive Order 11478, Public Law 92-261.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) In the event the discrimination complaint becomes a formal complaint the counselor is required to submit notes of his/her action in attempting to resolve complaint at informal stage. Notes compiled by counselors then become part of a formal complaint file. (b) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. (c) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552). (d) Provide the Department of the Treasury with sufficient information to make a decision as to whether or not an applicant or employee has been the object of a discriminatory act. (e) When counselor's routine investigation develops evidence of violations of law, case is referred to the Investigative Branch. (f) To provide basis for disciplinary action, identifying procedural weaknesses, establishing liability if discrimination is found to exist, provide information to appropriate officials, management and Congressmen. (g) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

For additional routine uses see Appendix AA.

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

Storage: Notes are kept in such facilities as are available to the counselor at his/her work station.

Retrievability: A folder, card, or pages in a notebook contain the information in this system. Folders, cards or notebook pages are headed with the name of the person filing the discrimination complaint.

Safeguards: No general or uniform safeguards are prescribed. Service storage facilities vary in each District.

Retention and disposal: The EEO Counselor maintains the files for the duration of his investigation of a discrimination action complaint which is limited to twenty-one days. The counselor then holds the records for approximately thirty days or until he is sure the complainant does not plan to file a formal complaint, the files are then destroyed if a formal complaint is not filed. If a formal complaint is filed the counselor's notes are forwarded to Headquarters, Washington, D.C., where they become a part of a formal discrimination complaint file.

System manager(s) and address: Equal Employment Opportunity Officer, U.S. Customs, Plaza Executive Centre, Suite 300, 7370 N.W., 36th Street, Miami, Florida 33166.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison

of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information contained in this system is obtained from interviews held with persons who lodge discrimination complaints, from persons alleged to be the discriminator, from persons who have knowledge of the alleged act or action, from supervisors and others who have information relating to the alleged act or action from revision of personnel records made by the EEO Counselor.

Treasury/Customs 00.087

System name: Equal Employment Opportunity Program—Treasury/Customs.

System location: 450 Golden Gate Ave., Box 36117, U.S. Customs Service, San Francisco, CA.

Categories of individuals covered by the system: U.S. Customs employees with grievance or complaint filed under Part 713 of the Federal Personnel Manual-Discrimination Complaint Procedure.

Categories of records in the system: Investigative files prepared by EEO Counselors from initial counseling session to formal EEO investigation. Formal investigative records contain Investigator's report, sworn statements of witnesses, complainants and respondents, statistical records, employment files.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended. Part 713 of the Federal Personnel Manual; EEO Act of 1972 as amended (Public Law 92-261).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Maintains historical file of EEO. (b) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. (c) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Confidential control, records filed in locked steel cabinet.

Retrievability: Records indexed by name.

Safeguards: Records maintained in locked rooms after office hours.

Retention and disposal: Records disposed of in five years after case is closed.

System manager(s) and address: Regional Commissioner, Region VIII, 450 Golden Gate Ave., San Francisco, CA. 94102.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Interviews of witnesses, complainant and Customs officials. Research of established records.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a under which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.088

System name: Equal Opportunity Complaint Processing Records System—Training/Customs

System location: Office of Regional Commissioner, Customs Region V, 701 Loyola Avenue, New Orleans, Louisiana 70113, District Director, 423 Canal Street, New Orleans, La. 70130, District Director, P.O. Box 2748, Mobile, Ala. 36601.

Categories of individuals covered by the system: Employees of Customs Region V (New Orleans) who file Equal Opportunity complaints.

Categories of records in the system: Notices of efforts by counselors to resolve charges of discriminatory actions or conditions. These records are in the form of lists, memorandums, interview notices, transcripts, and reports.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used to provide the needed information for reports which become part of the formal investigative file if the complaint of discrimination reaches the formal stage.

For additional routine uses see Appendix AA.

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

Storage: File folders in a cabinet.

Retrievability: By name.

Safeguards: Locked file cabinet.

Retention and disposal: In accordance with Records Control Manual.

System manager(s) and address: Equal Opportunity Officer, Customs Region V, 701 Loyola Avenue, New Orleans, La. 70113, Equal Opportunity Counselors, New Orleans District, 423 Canal Street, New Orleans, La. 70130, Equal Opportunity Counselors, Mobile District, P.O. Box 2748, Mobile Ala. 36601.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W. Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See access above.

Record source categories: Individual to whom the record pertains.

Treasury/Customs 00.276.

System name: Equal Opportunity Informal Discrimination Complaint Files—Treasury/Customs.

System location: Equal Opportunity Offices at Customs Headquarters and at each Customs Regional Headquarters and all EO Counselors at those locations (for addresses see Customs Appendix A) and Customs District offices.

Categories of individuals covered by the system: Government and private industry employees, including present and former Customs Service employees and applicants for jobs, who have filed informal complaints alleging discrimination on the part of the Customs Service or its officers or employees in violation of Equal Employment Opportunity Act of 1972.

Categories of records in the system: Names, addresses, employment, medical histories, reports of investigation, complaints filed, correspondence from members of Congress, attorneys representing the complainants, labor unions, hearing records and transcripts, Government documents regarding the administrative processing of complaints, and merit promotion information.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; Title 5, United States Code; Title 5, Code of Federal Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system are as follows: (a) Records in this system of records are disclosed to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. Such duties may include reviewing charges or procedures in complaints, making informal attempts to adjust complaints, preparing documents relating to proposed disposition of cases, preparing documents relating to final decisions in cases, and determining formal hearing status. (b) Records in this system of records are also made available to Civil Service Commission Hearing Examiners and to the Civil Service Commission Appeals and Review Board for use in making decisions on administrative hearings held in connection with the complaints. Records are also provided to the Department of Justice in connection with civil court actions arising in respect of the complaints. (c) Records in this system of records are, on occasion, disclosed in response to requests from members of Congress and are disclosed as required in the administration of the Freedom of Information Act (5 U.S.C. 552). (d) Records in this system of records are disclosed to the complainants and to attorneys, labor unions or other parties representing the interests of the complainants. (e) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto.

For additional routine uses see Appendix AA.

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

Storage: The case files are inserted alphabetically in file drawers within locked metal or wooden containers.

Retrievability: Each case file is identified on each alphabetical file folder within the metal or wooden container by the complainant's name.

Safeguards: The metal or wooden containers in which the file folders are placed are locked during non-working hours, and the room in which the containers are located is locked during non-working hours. The building is guarded by uniformed security police, and only authorized persons are permitted within the building.

Retention and disposal: Informal case files are retained during the time period in which the cases remain open informally and thereafter, until there is no longer a specific need for them, or until they are forwarded to the Regional EO Officer or Director, Equal Opportunity Division, at which time they are periodically destroyed.

System manager(s) and address: Equal Opportunity Officers and EO Counselors at the above locations.

Notification procedure: Request by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the Region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5 thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5 thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the Region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5 thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5 thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information in this system originated with an informal written or oral complaint to the appropriate equal opportunity counselor. Information in this system is obtained from the claimant through interviews during the informal complaint procedures and through other interviews during the informal complaint procedures. This system also contains information derived from a complaining Customs employee's official personnel file, from Evaluation and Promotion Board work papers relating to the complainant, and from inquiries into the complaints which include interviews of supervisors, interested third parties including non-Government persons, and former Customs Service employees. Information in this system is also derived from labor unions or attorneys representing the interests of the complainants and from documentary evidence.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (k)(2) proposes to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provision of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.089

System name: Equal Opportunity Discrimination Complaint Case File—Treasury/Customs.

System location: Equal Opportunity Division, U.S. Customs Service Headquarters, Room 6212, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Government and private industry employees, including present and former Customs Service employees, who have filed formal and informal complaints alleging discrimination on the part of the Customs Service or its officers or employees in violation of Equal Employment Opportunity Act of 1972.

Categories of records in the system: Names, addresses, employment and medical histories, reports of investigation, complaints filed, correspondence from members of Congress and attorneys representing the complainants and labor unions, hearing records and transcripts, Government documents regarding the administrative processing of complaints, and affidavits and other sworn statements.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; Title 5, United States Code; Title 5, Code of Federal Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system are as follows: (a) Records in this system of records are disclosed to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. Such duties may include reviewing charges or procedures in complaints, making informal attempts to adjust complaints, preparing documents relating to proposed disposition of cases, preparing documents relating to final decisions in cases, and determining formal hearing status. (b) Records in this system of records are also made available to Civil Service Commission Hearing Examiners and to the Civil Service Commission Appeals and Review Board for use in making decisions on administrative hearing held in connection with the complaints. Records are also provided to the Department of Justice in connection with civil court actions arising in respect of the complaints. (c) Records in this system of records are, on occasion, disclosed in response to requests from members of Congress and are disclosed as required in the administration of the Freedom of Information Act (5 U.S.C. 552). (d) Records in this system of records are disclosed to the complainants and to attorneys, labor unions or other parties representing the interests of the complainants. (e) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto.

For additional routine uses see Appendix AA.

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

Storage: The cases files are inserted alphabetically in file drawers within locked metal containers.

Retrievability: Each case file is identified in an alphabetical index card file by the name of the complainant and on each alphabetical file folder within the metal container by the complainant's name.

Safeguards: The metal containers in which the file folders are placed are locked during non-working hours, and the room in which the metal containers are located is locked during non-working hours. The building is guarded by uniformed security police, and only authorized persons are permitted within the building.

Retention and disposal: Case files are retained during the time period in which the cases remain open and, thereafter, until there is no longer any space available for them within the metal containers, at which time the case files are transferred periodically to the Federal Record Center for storage. Records having no pertinent information are periodically destroyed.

System manager(s) and address: Director, Equal Opportunity Division, U.S. Customs Service Headquarters, Room 6212, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified in writing of the

procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See access above.

Record source categories: The information in this system originates with an informal written or oral complaint to the appropriate equal opportunity counselor and with the filing of a Civil Service Commission Form 894 (Formal Complaint of complaint procedures and through the filing of Civil Service Commission Discrimination in the Federal Government). Information in this system is also obtained from the claimant through interviews during the informal and formal complaint procedures and through the filing of Civil Service Commission Form 171 (Personal Qualification Statement). This system also contains information derived from a complaining Customs Service employee's official personnel file, from Evaluation and Promotion Board work papers relating to the complainant, and from investigations into the complaints which include interviews of supervisors, interested third parties including non-Government persons, and former Customs Service employees. Information in this system is also derived from labor unions or attorneys representing the interests of the complainants and from documentary evidence or testimony adduced at administrative hearings held in connection with the complaints.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.090

System name: Equipment Record File—Treasury/Customs.

System location: Office of the District Director, United States Customs Service, 103 South Gay Street, Baltimore, Maryland 21202.

Categories of individuals covered by the system: Customs employees in the Baltimore District to whom equipment is assigned.

Categories of records in the system: Names of individuals and type and identifying numbers of equipment signed out (including non-expendable property, weapons etc.).

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: File cards and folders located in metal containers.

Retrievability: Cards are filed alphabetically by names of those to whom equipment is assigned.

Safeguards: File cards and folders are located in unlocked metal containers. The building is guarded by uniformed security police who control access to the building.

Retention and disposal: Records are retained indefinitely.

System manager(s) and address: Office of the District Director of Customs, 103 South Gay Street, Baltimore, Maryland 21202.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service

Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See access above.

Record source categories: Property Officer and personnel to whom equipment is assigned.

Treasury/Customs 00.091

System name: Equipment Record File—Treasury/Customs.

System location: Patrol Office, Room 807, 103 South Gay Street, Baltimore, Maryland 21202. (After August, Room 15, 40 South Gay Street, Baltimore, Maryland 21202).

Categories of individuals covered by the system: Customs employees in the Baltimore District to whom equipment is assigned.

Categories of records in the system: Names of individuals and type and identifying numbers of equipment signed out (including non-expendable property, weapons etc.).

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: File cards and folders located in metal containers.

Retrievability: Cards are filed alphabetically by names of those to whom equipment is assigned.

Safeguards: File cards and folders are located in unlocked metal containers. The building is guarded by uniformed security police who control access to the building.

Retention and disposal: Records are retained indefinitely.

System manager(s) and address: Office of the District Director of Customs, 103 South Gay Street, Baltimore, Maryland 21202.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See access above.

Record source categories: Property Officer and personnel to whom equipment is assigned.

Treasury/Customs 00.092

System name: Exit Interview—Treasury/Customs.

System location: Personnel Management Division, in each Region and Headquarters. See Customs Appendix A.

Categories of individuals covered by the system: Employees terminating from the Customs Service.

Categories of records in the system: Individual's name, position, time in grade and position, time with Customs, organization designation, supervisor's name and answers to various questions about employment with Customs.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used by Personnel Management Specialists and managers to monitor employee morale and for statistical purposes.

For additional routine uses see Appendix AA.

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

Storage: Forms are kept in manila folders.

Retrievability: By organization or by name.

Safeguards: Locked office.

Retention and disposal: Retained indefinitely.

System manager(s) and address: Director, Personnel Management Division. See location above.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information obtained from departing employee and Employee's supervisor.

Treasury/Customs 00.093

System name: Federal & New York State licenses for commercial importation of alcoholic beverages—Treasury/Customs

System location: Area Director, N.Y. Seaport Area, 6 World Trade Center, New York, N.Y. 10048.

Categories of individuals covered by the system: All companies and individuals who have filed import licenses for alcoholic beverages with this office.

Categories of records in the system: Licenses.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Dis-

closure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) to verify that importers of alcoholic beverages have the required permit.

For additional routine use see Appendix AA.

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

Storage: File cabinets.

Retrievability: Alphabetical listing.

Safeguards: Office locked at end of day.

Retention and disposal: Permanent.

System manager(s) and address: Regional Commissioner (Area Director, New York Seaport Area).

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Individuals who have applied for an alcoholic beverage license.

Treasury/Customs 00.267

System name: Federal Tort Claims Act File—Treasury/Customs.

System location: Office of Regional Counsel, Suite 1240, 500 Dallas Street, Houston, Texas 77002.

Categories of individuals covered by the system: Private persons filing claims under the Federal Tort Claims Act.

Categories of records in the system: Reports of Investigation regarding claims filed, documents relating to the administrative han-

ding of the claim and documents submitted by the claimant in support of the claim.

Authority for maintenance of the system: 28 U.S.C. 2672, et seq; 28 CFR 14.1 et seq; 31 CFR 3.1 et seq; Treasury Department Administrative Circular No. 131, August 19, 1965; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the U.S. Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) The information contained in this file is used to administratively process claims filed under the Federal Tort Claims Act and is made available to those officials within the Customs Service who review recommendations and who make final decisions on such claims. In addition, information contained in this file is made available to the Department of Justice to assist that Department in preparing the Government's case when suit is filed in court based on an administrative denial of the claim or based on a failure to administratively process the claim within the prescribed time period.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in the alphabetical file folder within the metal container by the name of the person who filed the claim.

Safeguards: The metal container described above is maintained within the area assigned to the office of the Regional Counsel on the 12th Floor of 500 Dallas Street. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled by uniformed security guards maintained by the lessor.

Retention and disposal: Tort claim files are retained until closed at which the closed files are transferred to the Division of Facilities Management, Office of the Regional Commissioner, Houston, Texas for ultimate transportation to the Federal Record Center.

System manager(s) and address: Regional Counsel, Suite 1240, United States Customs Service, 500 Dallas Street, Houston, Texas 77002.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with a Standard Form 95, Claim for Damage or Injury, which is completed and filed with the Customs Service by the claimant. Using these forms as a basis, investigations are conducted by authorized Customs Service investigation personnel in order to determine the facts surrounding the claims. During these investigations information may be elicited from Customs Service employees, private persons, or any other parties who may have information regarding the facts surrounding the claims.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.094

System name: Federal Tort Claims Act File—Treasury/Customs.

System location: Office of the Chief Counsel, Room 3305, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Private persons filing claims under the Federal Tort Claims Act.

Categories of records in the system: Reports of investigations regarding claims filed, documents relating to the administrative handling of the claims and documents submitted by the claimants in support of the claims.

Authority for maintenance of the system: 28 U.S.C. 2672, et seq; 28 CFR 14.1 et seq; 31 CFR 3.1 et seq; Treasury Department Administrative Circular No. 131, August 19, 1965; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. Such duties may include preparing and reviewing recommendations for decisions on claims, and making final decisions on claims. (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552). (c) Disclosure to the Department of Justice to assist that Department in preparing the Government's case when suit is filed in court based on an administrative denial of the claim or based on a failure to administratively process the claim within the prescribed time period.

The information contained in this system of records will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

For additional routine uses, see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person who filed the claim and in the alphabetical file folder within the metal container by the name of the person who filed the claim.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Chief Counsel within the Customs Service Building. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: Tort claim files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Record Center.

System manager(s) and address: Chief Counsel, Room 3305, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting

identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with a Standard Form 95, Claim for Damage or Injury, which is completed and filed with the Customs Service by the claimant. Using these forms as a basis, investigations are conducted by authorized Customs Service investigative personnel in order to determine the facts surrounding the claims. During these investigations, information may be elicited from Customs Service employees, private persons, or any other parties who may have information regarding the facts surrounding the claims.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.095

System name: Film Library of Seizures—Treasury/Customs

System location: Public Information Officer, U.S. Customs Service, 7370 N.W. 36th Street, Miami, Florida 33166.

Categories of individuals covered by the system: Information or data concerning specific individuals arrested for suspected smuggling activities.

Categories of records in the system: The material is used for training and courtroom purposes.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order, No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information is used by prosecuting attorneys in order to show the method of concealment in suspected smuggling cases and for other related courtroom purposes. The information is also supplied to State and local law enforcement officials, Federal law enforcement and security agencies, foreign governments and international police agencies.

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

Storage: The slides and index are stored in a file cabinet in a locked office.

Retrievability: Information from the system is retrievable by combination of arrested person's name, method of concealment and weight of the contraband.

Safeguards: The slides deal mainly with methods of concealment and rarely show an individual. The slides accompanying narratives contain no mention of any names. A cross reference containing names does exist but it is kept in a locked file cabinet.

Retention and disposal: The slides are retained for a period of five years and then destroyed.

System manager(s) and address: Public Information Officer, U.S. Customs Service, 7370 N.W. 36th Street, Miami, Florida 33166.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the regional Commissioner of Customs at the Region where the records are maintained (See Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or will-

fully seeking or obtaining access to records about another person under false pretenses is punishable by a fine, up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of Customs at the Region where the records are maintained (see Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in these files originates with Customs Form 151.

Treasury/Customs 00.096

System name: Fines, Penalties and Forfeiture Control and Information Retrieval System—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W.; Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Individuals and/or businesses who have been fined, penalized or have forfeited merchandise because of violations of Customs and/or related laws or breaches of bond conditions.

Categories of records in the system: Individual and business names, address, personal identifying numbers, date and type of violation, parties entitled to legal notice or who are legally liable, case information, bond and petition information, and actions (administrative) taken by U.S. Customs. Also included are actions taken by violator prior to the disposition of the penalty or liquidated damage case.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to these officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Control Customs district caseload and report each action taken by Customs and violator. (d) Provides management information regarding most frequent types of violations, penalty/liquidated damages case timeliness, budget allocation, violation history of individual and firms for investigative purposes, etc.

For additional routine uses see Appendix AA.

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

Storage: (1) Magnetic disc and tape, (2) Hard copy Customs Form 5955a (Notice of Liquidated Damages Incurred and Demand for Payment) and Customs Form 151 Search/Arrest/Seizure Report.

Retrievability: Individual's name or case number.

Safeguards: All inquiries are made by officers with a full field background investigation on a "need to know" basis only. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, special communications security, etc.

Retention and disposal: Until the statute of limitations has run or a disposition has been made. Erasure of disc/tapes and shredding and/or burning of hard copy Customs Form 5955a.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W.; Room 3117, Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Customs Form 5955a (Notice of Penalty or Liquidated Damages Incurred and Demand for Payment) and CF 151 (Search/Arrest/Seizure Report) prepared by Customs Employees at the time and place where the violation has occurred.

Treasury/Customs 00.097

System name: Fines, Penalties, and Forfeitures (Supplemental Petitions)—Treasury/Customs.

System location: Office of the Regional Counsel, Room 7422, New Federal Building, 300 N. Los Angeles St., Los Angeles, California 90053.

Categories of individuals covered by the system: Any person requesting further relief from the Regional Commissioner after having his Petition acted on by the District Director from any fine, penalty, forfeiture or claim for liquidated damages incurred under the provisions of any law administered by the Customs Service.

Categories of records in the system: Case file including copies of the notice of penalty, seizure or claim for liquidated damages,

search, arrest and seizure forms, investigative reports, documents relating to any importation having to do with the penalty, forfeiture or claim, documents relating to the administrative handling of the case and documents submitted by the Petitioner in support of his Petition and Supplemental Petition.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information contained in this file is used to administratively process Supplemental Petitions for relief from any fine, penalty, forfeiture or claim for liquidated damages incurred under the provisions of any law administered by Customs. The information is made available to the officials within the Customs Service who review recommendations and who make final decisions on such petitions. In addition, information contained in this file is made available to the Department of Justice to assist that Department in preparing the government case if the case is referred to them for filing of a suit based on an administrative denial of the Petition or removal to the District Court by action on the part of the Petitioner under the provisions of section 1608 of title 19. Information in these files may also be made available to persons working for the governmental agencies who are empowered to review and make recommendations concerning the granting of relief for violations of law administered by such agencies but enforced by Customs.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is labeled with the name of the person who filed the claim and filed in alphabetical order in the metal file cabinet marked Supplemental Petitions. In addition a chronological record is kept in a separate book, kept by the office secretary, of each case received, with district case number, decision, name of the Petitioner, law violated and ultimate decision of the Regional Commissioner.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Regional Counsel within the New Federal Building. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: Indefinite.

System manager(s) and address: Regional Counsel, Room 7422, United States Customs Service, 300 N. Los Angeles St., Los Angeles, California 90053.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, 300 N. Los Angeles St., Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with the filing of a Supplemental Petition as prescribed by section 171.33 and 172.33 of the Customs Regulations with the District Director of the District in which the fine, penalty, forfeiture or claim for liquidated damages issued. The Petition along with all supporting documents or documents relating to the case are for-

warded to the office of the Regional Commissioner who refers the case to the office of the Regional Counsel for review and recommendation. During this period of review further information may be elicited from Customs Service employees, private persons, or any other parties who may have information regarding the facts surrounding the case.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.098

System name: Fines, Penalties and Forfeiture Records—Treasury/Customs

System location: Customs district offices. (See Customs Appendix A).

Categories of individuals covered by the system: Individuals and firms who have been administratively charged with violations of Customs laws and regulations and other laws and regulations enforced by the Customs Service.

Categories of records in the system: Entry documentation, notices, investigative reports, memoranda, petitions, recommendations, referrals and dispositions of fines, penalties and forfeiture cases.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; 19 U.S.C. 66, 1618, 1624; 19 CFR Parts 171 and 172.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. Such uses would include reference to the files for information as to prior violations and ongoing investigations and cases. (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. Such uses would include referring records to the Environmental Protection Agency, the Department of Transportation, the appropriate U.S. Attorney and other Federal agencies for recommendations and enforcement of fines, penalties and forfeiture cases.

For additional routine uses, see Appendix AA.

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

Storage: The records are maintained in folders in file cabinets and safes.

Retrievability: The records are filed either by the name of the individual or chronologically with a cross reference index by the name of the individual.

Safeguards: During non-working hours, the records are maintained in locked rooms, locked buildings and buildings guarded by uniform guards.

Retention and disposal: The records are retained for three to five years after which they are either destroyed or forwarded to the Federal Records Center.

System manager(s) and address: District Directors of Customs (See Customs Appendix A).

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate

identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: Information and representations supplied by importers, brokers and other agents pursuant to the entry and processing of merchandise or in the clearing of individuals or baggage through Customs. Information also includes information gathered pursuant to Customs investigations of suspected of actual violations of Customs and related laws and regulations and recommendations and information supplied by other agencies.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.099

System name: Fines, Penalties, and Forfeiture Files (Supplemental Petitions)—Treasury/Customs

System location: Office of the Regional Counsel—15th Floor, Federal Building, 450 Golden Gate Avenue, San Francisco, CA 94102.

Categories of individuals covered by the system: Individuals who have filed supplemental petitions for relief from fines, penalties and forfeitures assessed for violations of the laws and regulations administered by Customs.

Categories of records in the system: Petitions and supplemental petitions and other documents filed by the individual; reports of investigation concerning the fine, penalty or forfeiture; and documents relating to the internal review and consideration of the request for relief and decision thereon.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; Reorganization Plan No. 1 of 1965, 19 U.S.C. 1618; 19 CFR Parts 171 and 172.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Information contained in the files is used to process requests for relief from fines, penalties and forfeitures and is made available to the officials within the Customs Service who review recommendations and who make final decisions with respect to them; (d) Information contained in the files may be made available to the Department of Justice or an individual United States Attorney to assist that Department or United States Attorney when suit is filed by the Government in civil prosecution of the fine, penalty or forfeiture; (e) Information contained in the files may also be used internally by the Regional Counsel or members of his staff insofar as it relates to precedent or guidelines for their handling of subsequent cases.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal file cabinet.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the petitioner and in the alphabetical file folder within the metal file cabinet by the name of the petitioner.

Safeguards: The metal file cabinet described above is maintained within the area assigned to the Office of the Regional Counsel within the Federal Building. During non-working hours the room in which the metal file cabinet is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: Supplemental petition files are retained indefinitely or until there is no longer any space available for them within the metal file cabinet, at which time the oldest files may be transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel, Room 15001, Federal Building, 450 Golden Gate Avenue, San Francisco, CA 94102.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: Information contained in these files is obtained from the individual petitioning for relief and from the District Director of Customs within whose jurisdiction the fine, penalty or forfeiture action lies.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.100

System name: Fines, Penalties and Forfeiture Records (Headquarters)—Treasury/Customs.

System location: Penalties Branch, Entry Procedures and Penalties Division, U.S. Customs Service Headquarters, Room 2340, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Records are maintained on persons who have been administratively charged with violating Customs and related laws and regulations and on persons who have applied for awards of compensation for providing information regarding such violations.

Categories of records in the system: Entry documentation, notices, investigative and other reports, memoranda of information received, petitions, recommendations, referrals and dispositions of fines, penalties and forfeiture cases and applications for awards of compensation.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended. 19 U.S.C. 66, 1618, 1624; 19 CFR Parts 171 and 172.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. Such uses include the processing and disposition of fines, penalties and forfeiture cases pursuant to 19 CFR Parts 171 and 172 and reference to the records for information as to prior violations and ongoing investigations. (b) Disclosures required in administration of the Freedom of Information Act (5

U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. Such uses would include referring records to the Environmental Protection Agency, the Department of Transportation and other Federal agencies for recommendations on the administration of fines, penalties and forfeiture cases. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: The records are kept in file cabinets in the central file room of the Entry Procedures and Penalties Division at U.S. Customs Service Headquarters.

Retrievability: The records are filed chronologically with a case number given to each file. The records are retrievable by means of an alphabetical card index system by names of individuals charged with a violation.

Safeguards: The records are maintained in the U.S. Customs Service Headquarters building which is guarded by security police. During non-working hours, the central file room is locked and the building is guarded by security police.

Retention and disposal: The records are generally retained for five years after the close of the case. The records are then forwarded to the Federal Records Center.

System manager(s) and address: Chief, Penalties Branch, Entry Procedures and Penalties Division, U.S. Customs Service Headquarters, Room 2340, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: Information and representations supplied by importers, brokers and other agents pursuant to the entry and processing of merchandise or in the clearing of individuals or baggage through Customs. Information also includes information gathered pursuant to Customs investigations of suspected or actual

violations of Customs and related laws and regulations and recommendations and information supplied by other agencies.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.101

System name: Fines, Penalty, and Forfeiture (FP&F) Records System—Treasury/Customs.

System location: Office of the Regional Counsel, U.S. Customs Service, Region IX, 55 E. Monroe Street, Room 1417, Chicago, Illinois 60603.

Categories of individuals covered by the system: Persons seeking relief from fines, penalties, and forfeitures incurred for alleged violations of the laws enforced by the United States Customs Service, and/or restoration of proceeds from the sale of seized and forfeited property.

Categories of records in the system: Statement from individual explaining circumstances justifying relief sought and history of the fine, penalty, forfeiture or seizure involved.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; 19 CFR part 171 and 172.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service, the Department of the Treasury and the Department of Justice, who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (f) Information contained in these files is routinely used by the attorneys in the Regional Counsel's office in determining and resolving legal issues, in denying or granting the petition and possibly in litigation. Litigation will require disclosure of the information to the Department of Justice, and the information is often channeled through the Department of Treasury.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in a file folder which is filed in a lockable drawer within a metal filing cabinet container.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person who initiated the petition for relief. In addition, each case file is similarly identified on the file folder with the alphabetical name on the file which is placed and located within the metal container.

Safeguards: The metal filing drawer containing the files described above is maintained within the area assigned to the office of the Regional Counsel, Region IX, at 55 E. Monroe Street, Chicago, Il-

linois. During non-working hours, the room in which the metal filing drawer is located is locked, the file container itself is locked, and access to the building is controlled at all times by uniformed guards with a check-in system for employees. Only employees of the Regional Counsel's office and authorized building personnel have keys to the building.

Retention and disposal: These files are retained indefinitely or until there is no longer space available for them within the metal filing cabinet at which time the oldest files are transferred to the storage area within the confines of the office. The storage area is a large area containing cardboard boxes with metal storage cabinets which are not able to be locked. Files which are closed and not retained for precedent purposes are retired to the Federal Records Center, General Services Administration, 7358 S. Pulaski, Chicago, Illinois 60602 in accordance with the U.S. Customs Service Records Disposal Manual.

System manager(s) and address: Regional Counsel of Customs, Room 1417, United States Customs Service, 55 E. Monroe Street, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, 55 E. Monroe Street, Chicago, Illinois 60603 or the Entry Procedures and Penalties Division, Customs Headquarters, Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates either with the receipt of any correspondence indicating that relief is desired or any notice from within the Customs Service that a fine or penalty is to be assessed. Further information in this file is derived from investigatory files and other information submitted by the petitioner and will include information from: informers, Customs employees, private parties, corporations, other Governmental agencies, state, local and Federal, credit bureaus, Seizure Reports (Customs Form 5955A, Customs Form 151) foreign countries, officials of foreign countries, citizens of foreign countries.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.102

System name: Firearms Qualification Certificate Record—Treasury/Customs

System location: Office of the Chief Inspector, U.S. Customhouse, Rm. 102, 2nd & Chestnut Streets, Philadelphia, Pa. 19106.

Categories of individuals covered by the system: All Customs Inspectors under the jurisdiction of the Philadelphia District who have qualified on the firing range within a previous 6-month period.

Categories of records in the system: The date of actual qualification, firing scores, and the category of marksmanship into which the individual's score places him or her.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Dis-

closure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Each qualification certificate, on 8 1/2 x 11 inch bond paper, is inserted in a file folder which is then placed in a file drawer.

Retrievability: Certificates are identified by the name of the individual and in alphabetical order within the folder.

Safeguards: The records folder is stored in a file cabinet drawer which is locked during non-working hours. Access to the building is controlled at all times by uniformed guards.

Retention and disposal: Firearms qualification certificates are retained for 1 year and then destroyed.

System manager(s) and address: District Director of Customs, U.S. Customhouse, 2nd & Chestnut Streets, Philadelphia, Pa. 19106.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW, Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW, Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in these files originates from reports submitted by the District Range Officer upon completion of the individual's qualification with a firearm.

Treasury/Customs 60.103

System name: Firearms Qualification Records—Treasury/Customs.

System location: Office of the Assistant Regional Commissioner (Operations), Region IX, Chicago, Illinois and Offices of District Directors, Region IX, Chicago, Illinois. (See Customs Appendix A).

Categories of individuals covered by the system: Customs Inspectors receiving firearms training.

Categories of records in the system: Records include date of firing, qualification status, date of qualification, card issuance.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Locked file cabinet in the office of the Assistant Regional Commissioner (Operations) of Region IX, Chicago, Illinois.

Retrievability: Folders identified by individual's name.

Safeguards: The file described is maintained in the office of the Assistant Regional Commissioner (Operations) in Region IX, Chicago, Illinois. During non-working hours the room/building in which the file is located is locked. Access is limited to authorized Customs personnel.

Retention and disposal: Until employee separates/transfers. Transfer to National Personnel Records Center (NPRC), (CPR), St. Louis, Missouri, 30 days after employee is separated.

System manager(s) and address: Assistant Regional Commissioner (Operations).

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in these files results from firing scores recorded on targets used during the course of firearm qualification firings.

Treasury/Customs 00.104

System name: Florida Boat Registration File—Treasury/Customs.

System location: U.S. Customs Air Support Branch, PM-TUM, Homestead Air Force Base, Homestead, Florida 33030.

Categories of individuals covered by the system: Persons, partnerships, or corporations who are registered owners of record of boats or vessels bearing Florida registration numbers.

Categories of records in the system: This file contains the name and address of the registered owner of the vessel; a description of the vessel; and an indication of whether or not the vessel is of record with the Treasury Enforcement Communications Systems (TECS).

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charges with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: The information files are numerically filed in a wooden box within a security area.

Retrievability: The information is in the form of Micro-film and is retrieved by means of Alpha-numerical code identifier.

Safeguards: The information files are located within an office which is locked during non-working hours. The building is guarded by U.S. Air Force Military Police and only authorized persons are permitted in the building.

Retention and disposal: These files are maintained for a period of three months at which time they are replaced with current information. The old files are then destroyed under Customs supervision.

System manager(s) and address: Chief, Air Support Branch, U.S. Customs Service, PM-TUM, Homestead Air Force Base, Homestead, Florida 33030.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.105

System name: Former Employees—Treasury/Customs.

System location: Laboratory Division, Room 1508, 630 Sansome Street, San Francisco, California, 94111.

Categories of individuals covered by the system: All past employees of the Customs Laboratory.

Categories of records in the system: Contains copies of personnel action notices.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in file folders and stored in a metal file cabinet.

Retrievability: The record is filed alphabetically by name.

Safeguards: The file is stored in a metal file cabinet in a private inner office of a government building protected by 24 hour guard service with limited access. The file is only used on a need to know basis and only by the laboratory employees.

Retention and disposal: Files are maintained for reference purposes only. The file is permanent to office.

System manager(s) and address: Director, Laboratory Division, U.S. Customs Service, 630 Sansome Street, Room 1508, San Francisco, California, 94111.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information contained in personnel action files.

Treasury/Customs 00.106

System name: Freedom of Information Requests—Treasury/Customs.

System location: Value and Freedom of Information Branch, U.S. Customs Service, 1301 Constitution Ave. N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Individuals requesting information.

Categories of records in the system: Correspondence pursuant to the Freedom of Information Act, internal processing documents and memoranda, referrals and copies of requested records.

Authority for maintenance of the system: Freedom of Information Act, 5 U.S.C. 552, 31 CFR Part 1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For reporting requirements as required by the Act; to respond to other Department officials who request information regarding persons making a FOI request; evaluation purposes and determination of volume of requests received and the impact on the current workload; preparation of budget; disclosures in accordance with Freedom of Information Act, to other agencies when required for coordination of response or referral; to Department of Justice for defending law suits; to Congressional Committees.

For additional routine uses see Appendix AA.

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

Storage: File folders.

Retrievability: By name of requester(s) and date of request.

Safeguards: Filed in filing cabinet and released only to individuals with legitimate right to review.

Retention and disposal: In accordance with the provisions of the Act and Departmental records management procedures.

System manager(s) and address: Director, Classification and Value Division, U.S. Customs Service, 1301 Constitution Ave., N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Individuals who make Freedom of Information Act requests. Federal officials responding to Freedom of Information Act requests and documents from official records.

The Commissioner of Customs pursuant to 5 U.S.C. 552a(k)(2) proposes to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.107

System name: Full-Field Investigation—Active and Completed Log—Treasury/Customs.

System location: Personnel Management Division of Region VIII (See Customs Appendix A).

Categories of individuals covered by the system: Persons on whom full-field investigation has been conducted.

Categories of records in the system: System is a log of names and dates Full-Field request forwarded to Headquarters and Internal Affairs (if requested) and date Full-Field completed.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To identify individuals who are under Full-Field Investigation, and completion date to permit permanent promotion, or arrange an entrance on duty date. (2) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (3) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Looseleaf Binder.

Retrievability: By name.

Safeguards: Limited access.

Retention and disposal: Destroyed at end of two years.

System manager(s) and address: Director, Personnel Management Division, Region VIII.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Personnel Management Division, Region VIII, 450 Golden Gate Avenue, Box 36117, San Francisco, California 94102 or Entry Procedures and Penalties Division, Customs Headquarters, Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his

signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Personnel Management Division, Region VIII, 450 Golden Gate Avenue, Box 36117, San Francisco, California 94102 or the Entry Procedures and Penalties Division, Customs Headquarters, Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information recorded from Full-Field Request, Standard Form 86.

Treasury/Customs 00.108

System name: Government Employees' Drivers License File—Treasury/Customs

System location: Located in the Office of the District Director, San Diego, Calif; Offices of the Port Directors, San Ysidro, Calif; Tecate, Calif; Calexico, Calif; Andrade, Calif; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif; San Ysidro, Calif; Calexico, Calif; Tecate, Calif; Los Angeles region. See Customs Appendix A.

Categories of individuals covered by the system: All Customs employees who have applied and/or received Government Driver's License.

Categories of records in the system: Contains all information on the applicant on SF 46, Driver's Test Report, and any other information relating to individual's personal history.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a

Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. Process and authorize all applicants for issuance of Government Driver's License.

For additional routine uses see Appendix AA.

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

Storage: SF 46 in manila folder.

Retrievability: By name.

Safeguards: Locked file cabinet.

Retention and disposal: 3 years or until reissued.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District. (See Customs Appendix A).

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071—Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretense is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071—Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Government employee, driver examiner, and reports from other individuals which may have information relating to employee's driving habits or ability.

Treasury/Customs 00.109

System name: Handicapped Employee File—Treasury/Customs.

System location: Personnel Management Division, Regional Commissioner of Customs, 55 East Monroe Street, Suite 1501, Chicago, Illinois 60603.

Categories of individuals covered by the system: All employees identified as handicapped.

Categories of records in the system: Indicates employee's home and organizational location and various physical and mental handicaps, infirmities and conditions. Also shows veteran's preference.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used to assure that employees are not placed in positions that they cannot physically perform. Also, for reporting and statistical purposes.

For additional routine uses see Appendix AA.

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

Storage: List.

Retrievability: Lists employees alphabetically by district.

Safeguards: None at present and none required.

Retention and disposal: Employee's name removed from list at time of termination.

System manager(s) and address: Director, Personnel Management Division. (See Customs Appendix A).

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Data furnished by employee and employee's physician.

Treasury/Customs 00.111

System name: I.D. Cards—Treasury/Customs.

System location: District Director's office, U.S. Customs Service, 228 Federal Bldg., 335 Merchant Street, Honolulu, Hawaii.

Categories of individuals covered by the system: All employees to whom I.D. card, CF 3135, OF 55, Red-bordered cards, have been issued.

Categories of records in the system: The register lists the following information: name; I.D. card no.; and date issued.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Provides information of name, date and number of I.D. card issued to district employees. Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties.

For additional routine uses see Appendix AA.

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

Storage: Kardex file card.

Retrievability: By name.

Safeguards: Locked Kardex file.

Retention and disposal: Information is kept current until employee is terminated and I.D. cards are cancelled.

System manager(s) and address: District Director, 228 Federal Bldg., Merchant Street, Honolulu, Hawaii.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service

Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Data obtained from employees.

Treasury/Customs 00.110

System name: Identification Cards (CF 3135)
File—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif; Offices of the Port Directors, San Ysidro, Calif; Tecate, Calif; Calexico, Calif; Andrade, Calif; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif; San Ysidro, Calif; Calexico, Calif; Tecate, Calif. (Los Angeles region) see Customs Appendix A.

Categories of individuals covered by the system: All Customs Employees.

Categories of records in the system: Identification Card with photograph of employee, name, title, duty location, and identification card number.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended and the Customs Personnel Manual, Federal Personnel Manual, and Treasury Personnel Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure of those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. A log is maintained on those who have been issued identification cards.

For additional routine uses see Appendix AA.

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

Storage: CF 3135 in manilla folder.

Retrievability: By name and number.

Safeguards: Locked file cabinet.

Retention and disposal: Until employee is terminated or is issued a new card.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071—Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20029. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071—Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20029. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Employee, personnel file, management and/or supervisor.

Treasury/Customs 00.112

System name: Immediate Delivery Violation Record—Treasury/Customs.

System location: Fines, Penalties and Forfeiture Section, Room 102, United States Customhouse, 2nd & Chestnut Street, Philadelphia, Pa. 19106.

Categories of individuals covered by the system: Persons qualified to obtain release of imported merchandise under the immediate delivery privilege.

Categories of records in the system: The record reveals the individuals' or Customhouse broker's name, case number assigned and date, amount of penalty incurred, mitigated sum or remission and date closed. The record results in a summary of repetitive violations by any one individual, firm, or Customhouse broker and disciplinary action toward reduction or elimination of violations.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

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

records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Immediate Delivery Record Cards are filed alphabetically in an unlocked metal file cabinet.

Retrievability: Each record card is filed alphabetically within the metal cabinet.

Safeguards: The metal cabinet described above is maintained within the area assigned to the Fine, Penalties and Forfeiture section in Room 102 of the Customhouse, Philadelphia; during non-working hours, access to the building and area of storage is controlled by uniformed guards.

Retention and disposal: Immediate Delivery Record cards are retained at location 3 years; then destroyed.

System manager(s) and address: District Director of Customs, Room 102, U.S. Customhouse, 2nd & Chestnut Street, Philadelphia, Pa. 19106.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the record may be made where the records contain the necessary signature.

Record access procedures: Request by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained on these cards originates from liquidated damage cases instituted for failure to timely file entries and pay duty.

Treasury/Customs 00.274.

System name: Importer, Brokers, Carriers, Individuals and Sureties Master Files-Treasury/Customs.

System location: Financial Management Division, 7370 NW. 36th Street, Miami, Florida 33166.

Categories of individuals covered by the system: Brokers, Importers, Individuals, Carriers, and Sureties.

Categories of records in the system: Copies of correspondence—incoming and outgoing, copies of bonds, entries, bills, data center listings.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used by Revenue technicians to retain in one place all correspondence with a debtor. Bonds, entries and bills when available are included in the file.

For additional routine uses see Treasury Appendix AA.

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

Storage: Files are maintained in an unlocked drawer within a metal file cabinet.

Retrievability: Alphabetical by name appearing on correspondence.

Safeguards: The metal container described above is maintained within the area assigned to the Financial Management Division within the Customs Service Building. During non-working hours the room in which the metal container is located is locked.

Retention and disposal: These files are retained until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Director of Financial Management, 7370 NW. 36th Street, Miami, Florida 33166.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A). The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A). The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access, above.

Record source categories: Correspondence, Customs Service Data Center, Districts and Ports.

Treasury/Customs 00.265

System name: Importer Name and Address Record System—Treasury/Customs.

System location: Office of the Special Agent in Charge, U.S. Customs Service, 200 East Bay Street, Charleston, S.C. 29401.

Categories of individuals covered by the system: Importers who have immediate delivery bonds.

Categories of records in the system: Names, addresses, and employee identification numbers.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; 19 U.S.C. 1509; 19 U.S.C. 1511; 26 U.S.C. 7607.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: The records are maintained on microfiche and stored in a metal security cabinet. The cabinet is kept in a room that is locked after normal business hours.

Retrievability: The records are maintained in alphabetical order and cross indexed by Internal Revenue Employee Identification Number.

Safeguards: In addition to being stored in a metal container with a lock, the metal container is located in a locked room, the keys of which are controlled and issued to the office staff. The office staff who maintain and have access to the files are selected for their experience and afforded access only after having been cleared by a full field background investigation and granted appropriate security clearances for critical sensitive positions. Those departmental officials who may occasionally be granted access consistent with their positions to employ and concur in the granting of security clearances have also been investigated prior to filling critical-sensitive positions.

Retention and disposal: This file is retained until an updated file is received. The obsolete file is then destroyed by burning or shredding.

System manager(s) and address: Special Agent in Charge, Charleston, S.C. (See Appendix A.)

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Ave., N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or will-

fully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Ave., N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in this system is furnished to the Customs Service by the importers contained in the file.

Treasury/Customs 00.113

System name: Import specialist activities—investigation referrals—Treasury/Customs.

System location: Office of the Regional Commissioner, U.S. Customs Service, 55 East Monroe, Suite 1501, Chicago, Illinois 60603.

Categories of individuals covered by the system: Import specialist.

Categories of records in the system: A monthly report of the number of referrals made to the Office of Investigations in connection with 220 visits.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552). (c) To keep track of the referrals made by each import specialist to the Office of Investigation.

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

Storage: The information is listed by name and located on a wall chart in the training room.

Retrievability: Indexed by name and location of the import specialist.

Safeguards: Area is provided for Customs employees only and other persons using the area must be accompanied by a Customs employee.

Retention and disposal: The information is erased after two years.

System manager(s) and address: Director, Classification and Value Division, 55 East Monroe, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where

the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Obtained from Regional Form IX-RC-220 prepared by the import specialist.

Treasury/Customs 00.114

System name: Import specialist activities—laboratory samples—Treasury/Customs.

System location: Office of the Regional Commissioner, U.S. Customs Service, 55 East Monroe, Suite 1501, Chicago, Illinois 60603.

Categories of individuals covered by the system: Import specialist team.

Categories of records in the system: Monthly report of the number of laboratory samples processed by the import specialist teams.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552). (c) Used as an administrative tool to keep track of laboratory samples processed by import specialists.

For additional routine uses see Appendix AA.

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

Storage: The information is listed by team number and located on a wall chart in the training room.

Retrievability: Indexed by name and team number of the import specialist.

Safeguards: Area is provided for Customs employees only and other persons using the area must be accompanied by a Customs employee.

Retention and disposal: Information is erased after two years.

System manager(s) and address: Assistant Regional Commissioner (Operations), 55 East Monroe, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: A monthly report submitted by the Director of the Laboratory Division.

Treasury/Customs 00.115

System name: Import Specialist Activities—Seminars—Treasury/Customs.

System location: Classification & Value Division, U.S. Customs Service, 55 East Monroe, Suite 1501, Chicago, Illinois 60603.

Categories of individuals covered by the system: Import specialist.

Categories of records in the system: A monthly report of the number of seminars the import specialist has attended.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552). (c) Used by the Classification and Value Division to keep track of special training given to import specialists.

For additional routine uses see Appendix AA.

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

Storage: The information is listed by name and located on a wall chart in the training room.

Retrievability: Indexed by name and location of the import specialist.

Safeguards: Area is provided for Customs employees only and other persons using the area must be accompanied by a Customs employee.

Retention and disposal: Information is erased after two years.

System manager(s) and address: Director, Classification & Value Division, U.S. Customs Service, 55 East Monroe, Suite 1501, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access Above.

Record source categories: The records of the seminar.

Treasury/Customs 00.116

System name: Import specialist activities—220 visits, Region IX—Treasury/Customs.

System location: Office of the Regional Commissioner, U.S. Customs Service, 55 East Monroe, Suite 1501, Chicago, Illinois 60603.

Categories of individuals covered by the system: Import specialist.

Categories of records in the system: A record of importer premises visits performed by the import specialist including the time, cost, and number of visits listed monthly.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552). (c) To keep an account of the visits made by import specialists to importers' premises.

For additional routine uses see Appendix AA.

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

Storage: The information is listed by name and located on a wall chart in the training room.

Retrievability: Indexed by name and location of the import specialist.

Safeguards: Area is provided for Customs employees only and other persons using the area must be accompanied by a Customs employee.

Retention and disposal: Information is erased after two years.

System manager(s) and address: Director, Classification and Value Division, 55 East Monroe, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access Above.

Record source categories: Reports submitted by import specialists on Regional Form IX-RC-220.

Treasury/Customs 00.117

System name: Information and Investigative Reports from other Federal Agencies—Treasury/Customs.

System location: Office of the Director, District Patrol, Suite 2800 Plaza Tower Building, 1001 Howard Ave., New Orleans, Louisiana 70113. Dir., District Patrol Division, Rm. 213, International Trade Center 250 N. Water Street, Mobile, AL 36602.

Categories of individuals covered by the system: Individuals on whom information has been received indicating unlawful or suspicious activity.

Categories of records in the system: Name, address, phone number, place of business, associates, vessels or aircraft identified with; make, year, license number and registration of vehicles, area of activity, method of operation and other relevant and necessary information on individuals suspected of activity contrary to law. All information received from other federal agencies' investigative reports.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Records maintained in standard Customs file folders in locked metal cabinets.

Retrievability: System indexed by identifying file number and manually retrieved.

Safeguards: File maintained in locked, metal file cabinet, the keys of which are controlled by the custodian of the files. Those departmental officials who may occasionally be granted access, consistent with their positions, have been cleared by a full field background investigation and granted appropriate security clearance for critical sensitive positions. During nonworking hours, the room housing the metal cabinets is locked.

Retention and disposal: Memoranda of Information Received are normally destroyed after 3 years. On active cases or individuals, files could presumably be retained for duration of interest in individual. Disposal is by means of shredding. The same procedure is followed for Investigative Reports from other Federal agencies.

System manager(s) and address: Director, District Patrol Division, Suite 2800 Plaza Tower Building, 1001 Howard Ave., New Orleans, La. 70113.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain require-

ments of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.118

System name: Information Received File—Treasury/Customs.

System location: U.S. Customs Air Support Branch, Patrol Division PM-TUM, Homestead Air Force Base, Homestead, Florida 33030.

Categories of individuals covered by the system: Persons who are believed to be involved in activities which constitute, or may develop into, possible violation of Customs and related laws.

Categories of records in the system: Internal Customs Service memoranda and related materials regarding the activities of individuals, vessels, or aircraft believed to be involved in acts which are contrary to Customs and related laws.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: The information files are inserted in alphabetical and chronological file folders which are filed within a metal container.

Retrievability: A manual, master card index is maintained for the entire system. This index includes name and/or numerical identifier.

Safeguards: The information files and master card index are located within an office which is locked during non-working hours. The building is guarded by U.S. Air Force Military Police and only authorized persons are permitted in the building.

Retention and disposal: These files are retained indefinitely or until such time that it has been determined that there is no longer a need for their existence, at which time the oldest files are destroyed under Customs supervision.

System manager(s) and address: Chief, Air Support Branch, U.S. Customs, Patrol Division, PM-TUM, Homestead Air Force Base, Homestead, Florida 33030.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.119

System name: Information Received File (Patrol Division—New Orleans, LA)—Treasury/Customs.

System location: Office of the Director, Regional Patrol, Suite 2808, Plaza Tower Bldg., 1001 Howard Ave., New Orleans, LA 70113.

Categories of individuals covered by the system: Individuals on whom information has been received indicating unlawful or suspicious activity.

Categories of records in the system: Name, file number, location, and date information received on individuals suspected of unlawful activity.

Authority for maintenance of the system: 5 USC 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: System maintained on filed 4 x 6 index cards.

Retrievability: System indexed alphabetically by name and manually retrieved.

Safeguards: Cards maintained in index file holder stored in secure combination safe, with the combination thereto restricted to four employees. Those departmental officials who may occasionally be granted access consistent with their position have been cleared by a full field background investigation and granted appropriate security clearance for critical sensitive positions. During non-working hours the room housing the safe is locked.

Retention and disposal: Index cards are retained for duration of interest in individual named there on. Disposal is by means of shredding.

System manager(s) and address: Director, Regional Patrol, Suite 2808, Plaza Tower Bldg., 1001 Howard Ave., New Orleans, LA 70113.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.120

System name: Information Received File (Patrol Division—New Orleans, LA)—Treasury/Customs.

System location: Office of the Director, Regional Patrol, Suite 2808, Plaza Tower Bldg., 1001 Howard Ave., New Orleans, LA 70113.

Categories of individuals covered by the system: Individuals on whom information has been received indicating unlawful or suspicious activity.

Categories of records in the system: Name, address, phone number, place of business, associates, vessels or aircraft identified with; make, year, license number and registration of vehicles; area of activity, method of operation, and other relevant and necessary information on individuals suspected of activity contrary to law.

Authority for maintenance of the system: 5 USC 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Records maintained in standard Custom file folders in locked, metal cabinets.

Retrievability: System indexed by identifying file number and manually retrieved.

Safeguards: File maintained in locked, metal file cabinet the keys of which are controlled by the custodian of the files. Those departmental officials who may occasionally be granted access consistent with their positions have been cleared by a full field background investigation and granted appropriate security clearance for critical sensitive positions. During non-working hours the room housing the metal cabinets is locked.

Retention and disposal: Memoranda of Information Received are normally destroyed after three years. On active cases or individuals, files could presumably be retained for duration of interest in individual. Disposal is by means of shredding.

System manager(s) and address: Director, Regional Patrol, Suite 2808, Plaza Tower Bldg., 1001 Howard Ave., New Orleans, LA 70113.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.121

System name: Information Received (Moir)
File—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif.; Offices of the Port Directors, San Ysidro, Calif.; Tecate, Calif.; Calexico, Calif.; Andrade, Calif.; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif.; San Ysidro, Calif.; Calexico, Calif.; Tecate, Calif. Los Angeles region. See Customs Appendix A.

Categories of individuals covered by the system: All Persons who have been found or suspected of being in violation of Customs or other Governmental Agency regulations or laws.

Categories of records in the system: Name, physical description, DOB, driver's license information and informing individual if suspect of being involved.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. To alert all Customs personnel or interested Agencies of possible violations or whereabouts of individuals.

For additional routine uses see Appendix AA.

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

Storage: Stored on CF-4621 in file cabinet.

Retrievability: Cross-indexed by name and file number.

Safeguards: Locked office after duty hours.

Retention and disposal: Indefinitely.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District. See Customs Appendix A.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.122

System name: Information Received File—Treasury/Customs.

System location: District Patrol Division, Room 200, United States Customhouse, La Marina, Old San Juan, P.R. 00901.

Categories of individuals covered by the system: Persons in whom Customs and/or other government agencies are interested from a law-enforcement and/or security point of view.

Categories of records in the system: Name, alias, date of birth or age, personal data, addresses, home and business telephone number, occupation, background information, associations, license

number and registration number of vehicle, vessel and/or aircraft, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their official duties; (b) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) When routine background investigation develops evidence of violations of law, case is referred to Investigative Branch; (d) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

For additional routine uses see Appendix AA.

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

Storage: Each memorandum, or group of memoranda, is placed in a folder which is filed in a numerical order according to the assigned case file number. These files are kept in a locked metal cabinet.

Retrievability: The above-mentioned case file numbers are cross-indexed by name to such numbers, and cards are filed alphabetically within a metal file box.

Safeguards: The metal file cabinet and the metal file box are located within an office that is locked during non-working hours. The building is guarded by uniformed Customs guards, and only authorized persons are permitted in the building.

Retention and disposal: These memoranda are retained for a period of three years after which they are destroyed together with related index cards.

System manager(s) and address: Director, District Patrol Division, United States Custom Service, Room 200, La Marina, Old San Juan, P.R. 00901.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.123

System name: Injury Notice—Treasury/Customs.

System location: Each Logistics Management Division in each regional HQ Office (see Customs Appendix A for addresses) and all offices of the District Director, Region IX, Chicago, Ill.

Categories of individuals covered by the system: Individuals who sustain an injury in performance of duty as an employee of U.S. Customs.

Categories of records in the system: Name, date of birth, home address, organization, place of injury, date and hour of injury, dependants, occupation, cause of injury, nature of injury, statement of witness, supervisor's report of injury.

Authority for maintenance of the system: Sec. 19 and 24 of the Occupational Safety and Health Act of 1970, 84 Stat. 1609, 1614, 29 U.S.C. 668, 673 and the provisions of Executive Order 11807.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Disclosure to the Department of Labor for that agency's official use.

For additional routine uses see Appendix AA.

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

Storage: The information in this system is contained on CA forms. The CA forms are filed in a loose leaf, alphabetical binder and placed in a metal file container.

Retrievability: Each CA form is identified by the name of the injured employee and filed alphabetically in a binder.

Safeguards: The binder is placed within a metal file container located within an office that is locked during non-working hours. The building is guarded by uniformed security personnel and only authorized persons are permitted in the building.

Retention and disposal: Notice of injury reports are maintained in the employee's OPF indefinitely. Copies maintained by the systems manager are maintained at location for two years and then destroyed.

System manager(s) and address: Each Director, Logistics Management Division, in each Customs Regional Headquarters (see Appendix A for address), each District Safety Officer, Region IX, Chicago, Ill. (see Customs Appendix A for addresses of District Directors).

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this system originates with and consists solely of information supplied by the injured employee, his supervisor, appropriate witness and attending physician on CA forms.

Treasury/Customs 00.124

System name: Inspector Training Quarterly Checklist Forms and Inspector Correspondence Course Enrollment Forms (CF-66)—Treasury/Customs.

System location: Regional Office, Personnel Management, Career and Staff Development, U.S. Customs, 300 N. Los Angeles Street, Los Angeles, California 90012.

Categories of individuals covered by the system: All Inspectors in training status in Region VII.

Categories of records in the system: Progress records of on-the-job Inspector training and enrollment forms for the correspondence course.

Authority for maintenance of the system: U.S. Customs Headquarters Training Manual, 5 USC 301; Reorganizational Plan No. 1 of 1950; Treasury Dept. Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) To determine if trainee Inspectors have satisfactorily completed their standard training requirements so that they are eligible for promotion at the end of their first year.

For additional routine uses see Appendix AA.

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

Storage: Loose leaf binder.

Retrievability: By name.

Safeguards: Locked office.

Retention and disposal: Until employee completes his training.

System manager(s) and address: Regional Training Officer, Personnel Management, Career Development Branch, U.S. Customs Service, 300 N. Los Angeles Street, Los Angeles, California 90012.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A

comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The inspectors' supervisors originate both the training progress checklists and the Correspondence Course Enrollment forms.

Treasury/Customs 00.125

System name: Intelligence Log—Treasury/Customs.

System location: U.S. Customs Air Support Branch, Patrol Division, PM-TUM, Homestead Air Force Base, Homestead, Florida 33030.

Categories of individuals covered by the system: Persons who are believed to be involved in activities which constitute, or may develop into, possible violation of Customs and related laws.

Categories of records in the system: Internal Customs Service memoranda and related materials regarding the activities of individuals, vessels, or aircraft believed to be involved in acts which are contrary to Customs and related laws.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: The intelligence log is a chronological file which is maintained within a security area.

Retrievability: A manual, master card index is maintained for the entire system. This index includes name and/or numerical identifier.

Safeguards: The information files and master card index are located within an office which is locked during non-working hours. The building is guarded by U.S. Air Force Military Police and only authorized persons are permitted in the building.

Retention and disposal: These files are retained indefinitely or until such time that it has been determined that there is no longer a need for their existence, at which time the oldest files are destroyed under Customs supervision.

System manager(s) and address: Chief, Air Support Branch, Patrol Division, U.S. Customs, PM-TUM, Homestead Air Force Base, Homestead, Florida 33030.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.126

System name: Internal Security File—Treasury/Customs.

System location: Area Director, New York Seaport Area, 6 World Trade Center, New York, New York 10048.

Categories of individuals covered by the system: Commercial and non-commercial importers.

Categories of records in the system: Correspondence from importing public concerning parcels received through mail without being processed through Customs and Voluntary Tenders submitted in conjunction with same.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Use by Customs Officers in enforcing laws and regulations and use as background information.

For additional routine uses see Appendix AA.

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

Storage: Records maintained in a file drawer.

Retrievability: Listed alphabetically by name.

Safeguards: The office is locked at the end of the day.

Retention and disposal: Files destroyed after two years.

System manager(s) and address: Area Director, New York Seaport Area, 6 World Trade Center, New York, New York 10048.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting

identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information submitted by individuals.

Treasury/Customs 00.127

System name: Internal Security Records
System—Treasury/Customs.

System location: Internal Security Division, U.S. Customs Service Headquarters, Room 5335, 1301 Constitution Avenue, N.W., Washington, D.C. 20229 and index card files each Regional Director (Internal Affairs) Office. See Customs Appendix A.

Categories of individuals covered by the system: Present and past employees, applicants for positions that require an investigation, and others that are the subject of an investigation.

Categories of records in the system: Security clearance records; background, tort claim, special inquiry, conduct, and equal employment opportunity investigations and other Customs related investigations including individuals involved in accidents under investigation.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Provide the proper authority within the Department of the Treasury with sufficient information to make a decision as to whether or not an applicant or employee is suitable for employment in a sensitive position, and to make a determination regarding a subject's loyalty; (d) When routine background investigation develops evidence of violations of law, case is referred to Investigative Branch; (e) Serves as a basis for granting access to classified information and material. When necessary, advise Government agencies and private industry of employees having security clearances; (f) To provide basis for disciplinary action, criminal prosecution establishing guilt or innocence, identifying procedural weaknesses, establishing liability in tort claim investigations, give information to Equal Employment Opportunity Division in EEO cases, provide information to appropriate officials, management and Congressmen; (g) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; (h) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit; (i) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

A record contained in this system of records may be disclosed as a routine use to possible sources of information in connection with civil or criminal investigations or inquiries under circumstances where it is necessary to disclose certain information in order to pose a question to those sources.

For additional routine uses see Appendix AA.

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

Storage: Investigative records are maintained in file folders and stored in metal security cabinets and secured by government approved three-position, combination locks. Security clearance records are stored on magnetic tape with a manual back-up system.

Retrievability: A manual, master card index is maintained for the entire system. This index includes name and/or numerical identifier.

Safeguards: In addition to being stored in secure metal containers with government approved, combination locks, the metal containers are located in locked rooms, the keys of which are controlled and issued to the custodians of the files. The security specialists and administrative personnel who maintain the files are selected for their experience and afforded access only after having been cleared by a full-field background investigation and granted appropriate security clearances for critical sensitive positions. Those departmental officials who may occasionally be granted access consistent with their positions to employ and concur in the granting of security clearances have also been investigated prior to filling critical-sensitive positions.

Retention and disposal: With exception of tort claim investigations, the file records are maintained as long as the subject of the investigation is employed by the U.S. Customs Service and for 1 year after the subject terminates employment. The files are then transferred to the Federal Records Center.

Tort Claim investigations are retained for 5 years after the close of the investigation and then destroyed. Once files are transferred, they are retained for the following periods of time by the Federal Records Center and then destroyed: Background investigations—25 years, Conduct and special inquiry investigations—15 years, Equal Employment Opportunity investigations—10 years.

System manager(s) and address: Director, Internal Security Division, U.S. Customs Service Headquarters, Room 5335, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.128

System name: Investigations Program Analysis—Treasury/Customs.

System location: U.S. Customs Service, Office of Investigations, Region V, RDI, 2900 Plaza Tower Building, New Orleans, La. 70113; SAC, P.O. Box 1704, Mobile, Ala. 36601; RA, 1719 West End Building, Rm. 303, Nashville, Tenn. 37203.

Categories of individuals covered by the system: Special Agents assigned to office.

Categories of records in the system: Record of cases assigned to individual agent showing date assigned, status, date closed, time spent on case, arrests, dispositions of arrests, seizures, penalties,

and recoveries, if any. An inventory of types of cases handled by an agent.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used administratively as an inventory of investigative cases; measurement of the results of investigative efforts; and an account of man hours devoted to investigative categories.

For additional routine uses see Appendix AA.

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

Storage: Information is contained in a printout.

Retrievability: Information is retrieved from the printout by case number, name of agent, and date by month and year.

Safeguards: During non-working hours the room in which the above described printouts are located is locked.

Retention and disposal: Indefinitely.

System manager(s) and address: Regional Director, Investigations, U.S. Customs Service, Office of Investigations, 2900 Plaza Tower Building, New Orleans, La. 70113; Special Agent in Charge, U.S. Customs Service, Office of Investigations, P.O. Box 1704, Mobile, Ala., 36601; Resident Agent, U.S. Customs Service, Office of Investigations, 1719 West End Building, Rm. 303, Nashville, Tenn. 37203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person

under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information furnished by Customs Special Agents.

Treasury/Customs 00.129

System name: Investigations Record System—Treasury/Customs.

System location: All Office of Investigations offices located within each Customs Service Region in the United States and within each Office of Investigations office located in a foreign country. (See Customs Appendix A).

Categories of individuals covered by the system: Records are maintained on individuals who may bear some necessary relevance to investigations conducted within the scope of authority of the Office of Investigations, United States Customs Service. The categories include but are not limited to: (1) Known violators of U.S. Customs laws. (2) Convicted violators of U.S. Customs and/or drug laws in the U.S. and foreign countries. (3) Fugitives with outstanding warrants, Federal or State. (4) Suspect violators of U.S. Customs or other related laws. (5) Victims of violations of the U.S. Customs or related laws.

Categories of records in the system: The subject records may contain any identifying or other relevant information on subject individuals which might relate to the following categories of investigations:

Smuggling Investigations Branch: Smuggling, Diamonds & Jewelry; Smuggling, Liquor; Smuggling, Narcotics; Smuggling, All Other; Prohibited Importations; Navigation, Airplane and Vehicle Violations; Neutrality Violations; Illegal Exports.

Regulatory Investigations Branch: Baggage Declaration Violations; Customhouse Brokers and Customs Attorneys; Applications for Licenses; Theft, Loss, Damage and Shortage; Irregular Deliveries; All Other Criminal Cases; Currency Violations.

Special Investigations Branch: Organized Crime; Personnel Derelictions; Other Departments, Bureaus and Agencies; Federal Tort Claims; Personnel Background Investigations.

Technical Investigations Branch: Undervaluation and False Invoicing; Petitions for Relief.

Verification Investigations Branch: Drawback; Marking of Merchandise; Customs Bonds; Customs Procedures; Collections of Duties and Penalties; Trademarks and Copyrights; Foreign Repairs to Vessels and Aircraft.

Foreign Investigations Branch: Classification; Market Value; Dumping; Countervailing Duties.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; 19 U.S.C. 2072; Title 19, United States Code; Title 18, United States Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of Treasury who have a need for the records in the performance of their duties which may include the administration, investigation, enforcement and prosecution of civil and criminal Customs and related laws; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Disclosure may be made to any civil or criminal law enforcement authorities, whether Federal, state, local or foreign; (d) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (e) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit; (f) A record from this system of

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

A record contained in this system of records may be disclosed as a routine use to possible sources of information in connection with civil or criminal investigations or inquiries under circumstances where it is necessary to disclose certain information in order to pose a question to those sources.

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in both hard copy files and on microfiche which are placed in locked metal containers.

Retrievability: The record system is indexed on 3 x 5 file cards by the individual's name and/or identification number and by the investigative case numbers to which the information relates. The hard copy and microfiche records are retrieved by means of the investigative case numbers.

Safeguards: All records are held in steel cabinets and are maintained according to the requirements of the United States Customs Records Manual and the United States Customs Security Manual. Access is limited by visual controls and/or a lock system. During normal working hours, files are either attended by responsible Office of Investigations employees or the file area is restricted. The office in which the records are located is locked during non-working hours and the building is patrolled by uniformed security guards.

Retention and disposal: The index cards are retained indefinitely. The hard copy and microfiche records are retained for one year or more depending on the subject matter to which they relate and are then either destroyed or transferred to the appropriate Federal Record Center, all in accordance with standard Customs Service record retention and disposal procedures.

System manager(s) and address: Assistant Commissioner, Office of Investigations, U.S. Customs Service Headquarters, Room 3106, 1301 Constitution Avenue, N.W., Washington, D.C., 20229.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.130

System name: Investigative Program Analysis—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: United States Customs Special Agents and Operations Officers.

Categories of records in the system: Case assignment information such as case number, case hours, court hours, case description and disposition, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be

disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Provide management information such as caseload, budget, manpower, performance and experience, etc.

For additional routine uses see Appendix AA.

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

Storage: (1) Magnetic tape, (2) Manual files maintained by the Office of Investigations field officer.

Retrievability: By name and Social Security Number of subject Customs Officer.

Safeguards: On a need-to-know basis to the Office of Investigations personnel only. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, special communication security, etc.

Retention and disposal: Indefinite; None.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person

under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Supervisory Customs Special Agents when making case assignments to Special Agents or Operations Officers on foreign assignments.

Treasury/Customs 00.131

System name: Justice Court Case File—Treasury/Customs.

System location: Regional Counsel of Customs, 6 World Trade Center, New York, N.Y. 10048.

Categories of individuals covered by the system: Persons who are parties in litigation with the United States Government or subunits or employees or officers thereof, in matters which affect or involve the United States Customs Service.

Categories of records in the system: Litigation report requests and responses thereto, reports of investigations, internal Customs Service memoranda summarizing or relating to the matter in controversy and other background information relating to the subject matter or origin of the litigation.

Authority for maintenance of the system: 28 U.S.C. 2676, 19 U.S.C. 1603, E.O. 6166.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Information contained in this file is routinely provided to the Department of Justice upon request to assist that Department in representing the interests of the Government, the agency or officer or employee involved in the litigation, or to other agencies involved in the same or similar litigation. Files are often channeled through the Treasury Department.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person who initiated the litigation against the Government, agency, officer or employee or by the name of the person against whom the Government initiated the litigation. In addition each case file is similarly identified on the alphabetical file folder within the metal container.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Chief Counsel within the Customs Service Building. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel, U.S. Customs Service, 6 World Trade Center, New York, N.Y. 10048.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with the receipt of a litigation report request from the Department of Justice which results in a written report to that Department regarding the facts of the particular case. Information in this file is also derived from reports of investigation regarding the enforcement of civil or criminal statutes, administrative proceedings regarding disciplinary action taken against Customs Service employees, equal employment opportunity complaints, denials of tort claims, denials of information requested under the Freedom of Information Act, and the collection of debts due the Government.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.132

System name: Justice Court Case File—Treasury/Customs.

System location: Office of the Chief Counsel, Room 3305, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Persons who are parties in litigation with the United States Government or agencies or employees or officers thereof, in matters which affect or involve the Customs Service.

Categories of records in the system: Litigation report requests and responses thereto, reports of investigations, internal Customs Service memoranda summarizing or relating to the matter in controversy and other background information relating to the subject matter or origin of the litigation, including any information on individuals which has relevance to the matter in litigation.

Authority for maintenance of the system: 28 U.S.C. 507; 19 U.S.C. 1603; E.O. 6166; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Information contained in this file is provided as a routine use to the Department of Justice to assist that Department in representing the interests of the Government, the agency or officer or employee involved in the litigation, and may be provided to other agencies involved in same or similar litigation.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person who initiated the litigation against the Government, agency, officer or employee or by the name of the person against whom the Government initiated the litigation. In addition, each case file is similarly identified on the alphabetical file folder within the metal container.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Chief Counsel within the Customs Service building. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Record Center.

System manager(s) and address: Chief Counsel, Room 3305, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with the receipt of a litigation report request from the Department of Justice which results in a written report to that Department regarding the facts of the particular case. Information in this file may also be derived from reports of investigation regarding the enforcement of civil or criminal statutes, administrative proceedings regarding disciplinary action taken against Customs Service employees, equal opportunity complaints, denials of tort claims, denials of information requested under the Freedom of Information Act, and the collection of debts due the Government.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.133

System name: Justice Department Case File—Treasury/Customs.

System location: Office of the Regional Counsel, Room 125, U.S. Customhouse, 40 South Gay Street, Baltimore, Maryland 21202.

Categories of individuals covered by the system: Persons who are parties in litigation with the United States Government or subunits or employees or officers thereof, in matters which affect or involve the United States Customs Service.

Categories of records in the system: Litigation report requests and responses thereto, reports of investigations, internal Customs Service memoranda summarizing or relating to the matter in controversy and other background information relating to the subject matter or origin of the litigation.

Authority for maintenance of the system: 28 U.S.C. 2676; 19 U.S.C. 1603; E.O. 6166; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Information contained in this file is routinely provided to the Department of Justice or directly to United States Attorneys upon request to assist in representing the interests of the Government, the agency or officer or employee involved in the litigation, or to other agencies involved in the same or similar litigation; (d) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency,

whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in the file folder within the metal container by the name of the customhouse broker.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Regional Counsel within the Customhouse. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: Customhouse broker files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel, Room 125, U.S. Customhouse, 40 South Gay Street, Baltimore, Maryland 21202.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (See Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with the request from the Department of Justice or directly from a United States Attorney or other Government agency or officer which results in a communication regarding the particular case. Information in this file is also derived from reports of investigation regarding the enforcement of civil or criminal statutes or regulations, administrative proceedings or any matter affecting or involving the United States Customs Service or its officers or employees.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.134

System name: Laboratory Report Card—Treasury/U.S. Customs.

System location: Chicago Regional Laboratory, U.S. Customhouse, Room 714, 610 South Canal Street, Chicago, Illinois 60607.

Categories of individuals covered by the system: The system covers those persons from whom suspected narcotics or dangerous drugs have been seized by Customs officials in the Region served by the Chicago laboratory when the seizure in question was submitted to the laboratory for analysis.

Categories of records in the system: Information on the report includes the name of the person, a description of the seized material, the date and place of seizure, the submitting official and his office and the results of the laboratory analysis regarding the identity of the seized material.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used by laboratory staff within laboratory as a record of a submitted sample and the analysis results; (d) Used by laboratory staff and the staff of the office from which the seizure submitted to inform the seizing office of the analysis results; (e) Used by the chemist who performed the analysis as a memory aid when in court; (f) A copy of the report is used for the information of the prosecuting and/or defense attorneys involved in the case.

For additional routine uses see Appendix AA.

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

Storage: In file cabinets.

Retrievability: By identification number and name.

Safeguards: Records are maintained in the laboratory and are not made available to non-laboratory personnel (except as under Subsection (e)(4) (d)). All laboratory personnel are the subject of Federal investigative clearance prior to employment.

Retention and disposal: Retention—Records are retained at location for 15 years. Disposal—Destroyed by Laboratory Personnel by means of shredding.

System manager(s) and address: Director, U.S. Customs Laboratory, Customhouse, 610 South Canal Street, Room 714, Chicago, Illinois 60607.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or will-

fully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information comes from copy of seizure report which accompanies sample and by analysis of the sample.

Treasury/Customs 00.135

System name: Legal Case Inventory System—Treasury/Customs.

System location: Classification and Value Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, Room 2325, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Customs employees to whom legal cases are assigned for initial review at Customs Headquarters.

Categories of records in the system: Name of Customs employees to whom legal cases are assigned for initial review, name of inquirer, date of correspondence, description of request, control number, and status.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) To maintain a log system of all requests received in the Office; be able to locate each request, obtain present status, and to whom assigned. Obtain statistical information indicating the number of requests received per month for budget purposes.

For additional routine uses see Appendix AA.

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

Storage: Magnetic tape and hard-copy print-out.

Retrievability: A weekly print-out for each division in the Office of Regulations and Rulings by the name of the employee assigned to the case is prepared. Retrieval of information by employee is accomplished by a manual search of the print-out.

Safeguards: The weekly printout is used only by division personnel to locate a specific case. Each branch in the division receives a copy of the printout for their use. During non-working hours the room is locked and the building is guarded by security police. Only authorized persons are permitted in the building.

Retention and disposal: An inquirer's name will remain in the computer until 90 days after a reply has been made to afford the inquirer ample time for resubmission of a request for consideration. Thereafter, his name is expunged by erasure of the tape. The print-out is disposed of as paper trash when a new print-out is received.

System manager(s) and address: Director, Classification and Value Division, U.S. Customs Service, Room 2330, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or will-

fully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Branch Chief or delegate at the time the protest case is assigned to an individual for initial review.

Treasury/Customs 00.136

System name: Liquidated Damage Cases; Prior Violators—Treasury/Customs.

System location: Office of the District Director, Fines and Penalties Office, U.S. Customs Service, 2 India Street, Boston, Massachusetts 02109, and Office of the District Director, Fines and Penalties Office, U.S. Customs Service, P.O. Box 111, St. Albans, Vermont, 05478.

Categories of individuals covered by the system: Prior violators of Customs Laws: e.g. Customhouse brokers, individual T/B violators, liquidated damage cases only.

Categories of records in the system: Name, address, Social Security number, type of violation and frequency of past violations.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used to determine those persons who are repeatedly assessed liquidated damages so appropriate administrative action may be taken.

For additional routine uses see Appendix AA.

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

Storage: Stored on 3 x 5 index cards and in file folders.

Retrievability: Alphabetically; by name.

Safeguards: In locked file cabinet when not in use.

Retention and disposal: Boston District files are kept for two years and then destroyed on site. St. Albans District files are kept for five years and then destroyed.

System manager(s) and address: Fines and Penalties Officer, U.S. Customhouse, Boston, Massachusetts 02109. Fines and Penalties Officer, Post Office and Customhouse Building, St. Albans, Vermont 05478.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regu-

lations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedure to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information is received from the individual at the time the violation occurs and from penalty notices which are issued in the Penalties section. Also, the office of Investigations provides any information developed during its investigation.

Treasury/Customs 00.137

System name: List of Vessel Agents Employees—Treasury/U.S. Customs.

System location: Offices of District Directors, Region IX, Chicago, Illinois. See Customs Appendix A.

Categories of individuals covered by the system: Persons employed by Vessel agents.

Categories of records in the system: Names, addresses, Social Security numbers, and dates and places of birth of persons employed.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Open file.

Retrievability: Alphabetical listing of employees by vessel agent name.

Safeguards: The file described is maintained in the Offices of the District Directors in Region IX, Chicago, Illinois. During non-working hours the room/building in which the file is located is locked. Access limited to authorized Customs personnel.

Retention and disposal: Employee name retained for period of employment with vessel agent agency.

System manager(s) and address: District Director, as appropriate, in Region IX, Chicago, Illinois. See Location above.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Submission of data by importing carrier or his agent.

Treasury/Customs 00.138

System name: Litigation Issue Files—Treasury/Customs.

System location: Office of Assistant Chief Counsel, Customs Court Litigation, Second Floor, 26 Federal Plaza, New York, New York, 10007.

Categories of individuals covered by the system: Parties in litigation before the United States Customs Court (or subunits or employees or officers thereof), and other individuals with knowledge of the issues in controversy, e.g., trade witnesses, foreign or domestic manufacturers, etc.

Categories of records in the system: Litigation report requests and responses thereto, reports of investigations, internal Customs Ser-

vice memoranda summarizing or relating to the matter in controversy and other background information relating to the subject matter or origin of the litigation.

Authority for maintenance of the system: 19 U.S.C. 1514—1516; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Information contained in these files is routinely provided to the Department of Justice upon request to assist that Department in representing the interests of the Government, or agency involved in the litigation.

For additional routine uses see Appendix AA.

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

Storage: Each issue file is inserted in a numerical file folder (according to issue) which is filed in an unlocked drawer within a metal container.

Retrievability: Each issue filed is cross-indexed in the following card files: (a) by name of party-plaintiff; (b) by issue; and, (c) by titles of decided cases.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Assistant Chief Counsel within the Federal Building. At all times the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Record Center.

System manager(s) and address: Assistant Chief Counsel, Customs Court Litigation, Second Floor, 26 Federal Plaza, New York, New York, 10007.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with the receipt of protest reports (based on information supplied by the subject individuals or by their authorized agents or attorneys) from the various Districts and/or litigation report requests from the Department of Justice which result in a written report to that Department regarding the facts of the particular case.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.139

System name: Locator Cards—Treasury/Customs.

System location: Located in the Personnel Management Division, District, Port, and/or posts of duty of employees in each Region and Headquarters. See Customs Appendix A.

Categories of individuals covered by the system: The Employee Locator Card File contains Locator Cards on all current Customs employees, permanent and temporary.

Categories of records in the system: The Locator Card contains the following information: name; office extension; Bureau or Office name; division; branch, section, and Office symbol; building; room number; home address; home phone; name, address and phone of person to notify in case of emergency; reason for preparation (i.e., new employee, change of address, etc.); date prepared; whether placed in the Treasury Directory listing; whether home address can be given out, and related information.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Use as a ready reference for locating the office or extension of the employee at the request of other Customs employees or persons outside the agency desiring to contact the individual. Home address is used for training purposes or for emergencies only. Copies of the Locator Cards are also supplied to the Mail Room and to the General Receptionist for general location purposes, and to the Treasury Director Listing for those employees who wish to be included.

For additional routine uses see Appendix AA.

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

Storage: Records are stored in appropriate file box.

Retrievability: Records are indexed by name.

Safeguards: Records are maintained in a locked desk or file.

Retention and disposal: When an employee is separated his card is removed.

System manager(s) and address: Director, Personnel Management Division, in each region and Headquarters and/or appropriate administrative officer in Districts and Ports. See Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regu-

lations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information contained on the Locator Card is obtained directly from the employee, who fills out the card himself when he comes on board.

Treasury/Customs 00.140

System name: Lookout Notice—Treasury/Customs.

System location: Lookout files are maintained in Offices of the District and Port Directors and the District and Local offices of the Patrol Division. See Customs Appendix A.

Categories of individuals covered by the system: Suspected violators of laws enforced by Customs.

Categories of records in the system: Name, address, height, weight, and any other information available on the individual at the time the notice is instituted.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) The lookout notices are used by Customs to identify persons suspected of violating laws and to keep them under active review.

For additional routine uses see Appendix AA.

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

Storage: The notice is printed on regular paper and then copied and stored within a file box.

Retrievability: Alphabetically, by name.

Safeguards: Stored in locked filing cabinet and access is limited to administrative personnel.

Retention and disposal: Retained for two years and then destroyed on site.

System manager(s) and address: Regional Commissioner of Customs, Regional Director of Investigations, Regional Patrol Director at appropriate Region. See Customs Appendix A.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.142

System name: Mail Entry Protest—Treasury/Customs.

System location: District Director of Customs, 3180 Bladensburg Road, N.E., Washington, D.C. 20018.

Categories of individuals covered by the system: Individual member of armed forces, commercial importers, commercial exporters and private importers.

Categories of records in the system: Name, home phone number, office number, home address, relative address, year of service, income salary.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: The information is placed in alphabetical file folder and placed within a metal file cabinet.

Retrievability: Each letter of protest is filed in alphabetical order by last name first.

Safeguards: The metal cabinet is located within an office that is locked during non-working hours.

Retention and disposal: The records are maintained in the files for a complete fiscal year. Records are removed to inactive files and held for three years prior to destruction.

System manager(s) and address: District Director of Customs, 3180 Bladensburg Road, N.E., Washington, D.C. 20018.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW, Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand

dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information of this office originated with and consists solely of information supplied by the protestor or requester.

Treasury/Customs 00.143

System name: Mail Protest—Treasury/Customs.

System location: District: Anchorage, 204 E. 5th Ave., Anchorage, Alaska; Great Falls, 215 1st Ave. No., Great Falls, Montana; Honolulu, 335 Merchant, Honolulu, Portland, 511 N.W. Broadway, Portland, Oregon; San Francisco, 555 Battery St., San Francisco, California; Seattle, First & Marion Sts., Seattle, Washington.

Categories of individuals covered by the system: Individual protesting duty assessed.

Categories of records in the system: Correspondence relating to individual.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit.

For additional routine uses see Appendix AA.

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

Storage: Maintained in folders and stored in metal file cabinet.

Retrievability: The office and building are locked during non-working hours.

Safeguards: Protest number.

Retention and disposal: Records are maintained and disposed of in accordance with Records Disposal Manual.

System manager(s) and address: District Director, See Location above for addresses.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Individual and Customs employees involved with case.

Treasury/Customs 00.144

System name: Mail Protest File—Treasury/Customs.

System location: Foreign Mail Section, District Office, 150 N.E. 7th St., Miami, Fla.

Categories of individuals covered by the system: Individuals who have filed formal protest of the amount of duty assessed against mail parcels.

Categories of records in the system: Letters, invoices, and other pertinent documents pertaining to protests.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required

in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Customs Personnel processing mail protests; (d) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (e) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (f) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Records are stored in the Foreign Mail Section of the District Office, 100 N.E. 7 St., Miami, Fla.

Retrievability: Records are retrievable by name or protest number.

Safeguards: Access is limited to appropriate personnel and office is locked during non-working hours.

Retention and disposal: Records are kept until 3 years after the protest is decided.

System manager(s) and address: District Director of Customs, 100 N.E. 7 St., Miami, Fla.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Contesting record procedures: See Access above.

Record source categories: Source information is from the sender, the addressee, the Customs value records, and the manufacturer of the item.

Treasury/Customs 00.145

System name: Merit Promotion Plan Case Files—Treasury/Customs.

System location: Personnel Management Division, U.S. Customs Service, 300 North Los Angeles Street, Los Angeles, California.

Categories of individuals covered by the system: Customs employees who have applied for promotion under a specific promotion announcement number.

Categories of records in the system: Applications and resumes.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Promotion case files are maintained in locked file cabinet and filed by announcement number.

Retrievability: System is alphabetically indexed by name on an 8 1/2 x 10 sheet. On each sheet is listed all the announcement numbers under which the employee has applied.

Safeguards: In addition to being stored in secure locked metal file cabinets, the building is guarded by uniformed security guards.

Retention and disposal: Promotion case files are destroyed every two years.

System manager(s) and address: Director, Personnel Management Division, U.S. Customs Service, 300 North Los Angeles Street, Los Angeles, California.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Contesting record procedures: See Access above.

Record source categories: Information came from the employee, employee's performance appraisals completed by supervisors and deliberations of promotion panels.

Treasury/Customs 00.147

System name: MILITARY DECLARATIONS FILE: DD Form 1252, Unaccompanied Articles Arriving from Foreign; DD Form 1854, Military Customs Declarations—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif; Offices of the Port Directors, San Ysidro, Calif; Tecate, Calif; Calexico, Calif; Andrade, Calif; San Diego, Calif; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif; San Ysidro, Calif; Calexico, Calif; Tecate, Calif; according to the list that is attached as Customs Appendix A. (Los Angeles Region).

Categories of individuals covered by the system: All Military personnel arriving from foreign.

Categories of records in the system: Name, Rank, Service number, Date left the Continental U.S.; Date returned to the Continental U.S.; List of all articles purchased, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended, and the Customs Regulations and Customs Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a

license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. Maintain records relating to all individuals arriving from foreign.

For additional routine uses see Appendix AA.

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

Storage: DD Forms 1252 & 1854 in file cabinet.

Retrievability: Vessel, aircraft number, and name of individual.

Safeguards: Building is locked during non working hours.

Retention and disposal: 3 years.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District. For addresses see Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Contesting record procedures: See Access above.

Record source categories: Each individual returning military passenger.

Treasury/Customs 00.148

System name: Military Personnel and Civilian Employees' Claims Act File—Treasury/Customs.

System location: Office of the Chief Counsel, Room 3305, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Persons filing claims under the Military Personnel and Civilian Employees' Claims Act of 1964.

Categories of records in the system: Documents relating to the administrative handling of the claim and documents submitted by the claimant in support of the claim.

Authority for maintenance of the system: 31 U.S.C. 240-243; 31 CFR Part 4; Treasury Department Administrative Circular No. 131, August 19, 1965; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. Such duties may include making recommendations for decisions on claims and making final decisions on claims; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted alphabetically in a file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person who filed the claim and alphabetically in the file folder within the metal container by the name of the person who filed the claim.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Chief Counsel within the Customs Service Building. During nonworking hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Chief Counsel, Room 3305, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

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Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Contesting record procedures: See Access above.

Record source categories: The information contained in these files originates with a Treasury Department Form No. 3079, Civilian Employee Claim For Loss or Damage to Personal Property, which is completed and filed with the Customs Service by the claimant. Additional information contained in these files may be separately provided by the claimant or by the claimant's supervisor.

Treasury/Customs 00.149

System name: Military Personnel and Civilian Employees' Claims Act File—Treasury/Customs.

System location: Office of the Regional Counsel, Room 125, U.S. Customhouse, 40 South Gay Street, Baltimore, Maryland 21202.

Categories of individuals covered by the system: Current or former Customs employees filing claims under the Military Personnel and Civilian Employees' Claims Act of 1964 for damage to or loss of personal property incident to their service.

Categories of records in the system: Documents relating to the administrative handling of the claim and documents submitted by the claimant in support of the claim.

Authority for maintenance of the system: 31 U.S.C. 240-243; 31 CFR Part 4; Treasury Department Administrative Circular No. 131, August 19, 1965; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in the file folder within the metal container by the name of the person who filed the claim.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Regional Counsel within the Customhouse. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel, Room 125, U.S. Customhouse, 40 South Gay Street, Baltimore, Maryland 21202.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (See Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

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Contesting record procedures: See Access above.

Record source categories: The information contained in these files originates with a Treasury Department Form NO. 3079, Civilian Employee Claim For Loss or Damage to Personal Property, which is completed and filed with the Customs Service by the claimant. Additional information contained in these files may be separately provided by the claimant, the claimant's supervisor, or other reviewing Customs officers.

Treasury/Customs 00.150

System name: Military Personnel and Civilian Employees' Claims Act File—Treasury/Customs.

System location: Regional Counsel, U.S. Customs Service, 6 World Trade Center, New York, N.Y. 10048.

Categories of individuals covered by the system: Current or former Customs employees filing claims under the Military Personnel and Civilian Employees' Claims Act of 1964 for damage to or loss of personal property incident to their service.

Categories of records in the system: Documents relating to the administrative handling of the claim and documents submitted by the claimant in support of the claim.

Authority for maintenance of the system: 31 U.S.C. 240-243; 31 CFR Part 4; Treasury Department Administrative Circular No. 1331, August 19, 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) The information contained in this file is utilized to formulate recommendations, and is made available, to the officials within the Customs Service who make final decisions on claims submitted pursuant to the Military Personnel and Civilian Employees' Claims Act of 1964; (b) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (c) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted alphabetically in a file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person who filed the claim and alphabetically in the file folder within the metal container by the name of the person who filed the claim.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Chief Counsel within the Customs Service Building. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel, U.S. Customs Service, 6 World Trade Center, New York, N.Y. 10048.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in these files originates with a Treasury Department Form No. 3079, Civilian Employee Claim For Loss or Damage to Personnel Property, which is completed and filed with the Customs Service by the claimant. Additional information contained in these files may be separately provided by the claimant or by the claimant's supervisor.

Treasury/Customs 00.268

System name: Military Personnel and Civilian Employees' Claims Act File—Treasury/Customs.

System location: Office of the Regional Counsel, Suite 1240, 500 Dallas Street, Houston, Texas 77002.

Categories of individuals covered by the system: Current or former Customs employees filing claims under the Military Personnel and Civilian Employees' Claims Act of 1964.

Categories of records in the system: Documents relating to the administrative handling of the claim and documents submitted by the claimant in support of the claim.

Authority for maintenance of the system: 31 U.S.C. 240-243; 31 CFR Part 4; Treasury Department Administrative Circular No. 131, August 19, 1965; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the U.S. Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) The information contained in this file is utilized to formulate recommendations, and is made available, to the officials within the Customs Service to make final decisions on claims submitted pursuant to the Military Personnel and Civilian Employees' Claims Act of 1964.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted alphabetically in a file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified alphabetically in the file folder within the metal container by the name of the person who filed the claim.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Regional Counsel on the 12th Floor of 500 Dallas Street, Houston, Texas. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed security guards provided by the lessor.

Retention and disposal: These files are retained until closed at which time the closed files are transferred to the Division of Facilities Management, Office of the Regional Commissioner, Houston, Texas for ultimate transportation to the Federal Record Center.

System manager(s) and address: Regional Counsel, Suite 1240, United States Customs Service, 500 Dallas Street, Houston, Texas 77002.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified of how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the

requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in these files originates with a Treasury Department Form No. 3079, Civilian Employee Claim For Loss or Damage to Personal Property, which is completed and filed with the Customs Service by the claimant. Additional information contained in these files may be separately provided by the claimant or by the claimant's supervisor.

Treasury/Customs 00.151

System name: Motor Vehicle Accident Reports—Treasury/Customs.

System location: Each Logistics Management Division, in each Customs Regional Headquarters (see Customs Appendix A).

Categories of individuals covered by the system: U.S. Customs Employee involved in an automobile accident while on official duty.

Categories of records in the system: Name, Social Security Number, home address, telephone number, age, title, date of accident, place of accident, make, year, license number of vehicles, description of accident, information on driver of other vehicle.

Authority for maintenance of the system: 5 U.S.C. 301; Treasury Administrative Circular No. 131, dated August 19, 1965 as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer in a metal file cabinet.

Retrievability: Each case file is identified in a file folder identified by the name of the Customs employee involved in the automobile accident.

Safeguards: The metal file cabinet described above is maintained within the area assigned to the Regional Safety Coordinator within the office of the Regional Commissioner of Customs. Access to the building during nonworking hours is controlled.

Retention and disposal: Files are maintained at location for 2 years and then transferred to the Federal Records Center where they are retained for four years.

System manager(s) and address: Each Director, Logistics Management Division in each Regional Headquarters (see Customs Appendix A for addresses).

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting

identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

When the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in these files originates from the employee involved in the automobile accidents, police report and report of investigation conducted by the Office of Internal Affairs.

Treasury/Customs 00.152

System name: Motor Vehicle Operator's Identification Card—Treasury/Customs.

System location: District Director, 423 Canal Street, New Orleans, Louisiana 70113; District Director, P.O. Box 2748, Mobile, Alabama 36601; Regional Commissioner, 701 Loyola Avenue, New Orleans, Louisiana 70113.

Categories of individuals covered by the system: All Customs employees in District 20 whose official duties require the use and operation of an agency-owned vehicle or a government-owned vehicle leased from General Service Motor Vehicle Pool.

Categories of records in the system: Records on file contain the following information: Name, address, place and date of birth, statement of physical fitness, results of examination on driving capability, summary of past driving record, record of summonses, arrests, and accidents during past five years, record of safe driving awards.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation.

or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: On SF-47 and Treasury Department Form 2770 in appropriate file.

Retrievability: By name.

Safeguards: Unlocked file cabinet in locked office.

Retention and disposal: Forms are maintained for the period in which the individual is employed in the Customs Service, or until revoked. Upon separation or revocation, forms are removed from active file and placed in an inactive file for a period of three years, after which time the cards are disposed of as provided in GSA's General Records Schedule.

System manager(s) and address: District Director, 423 Canal Street, New Orleans, Louisiana 70113; District Director, P.O. Box 2748, Mobile, Alabama 36601; District, Logistics Management Division, 701 Loyola Avenue, New Orleans, LA 70113.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See access above.

Record source categories: All information contained on SF-47 and TD Form 2770 is obtained directly from employee.

Treasury/Customs 00.153

System name: Motor Vehicle Operators I.D. Card and Record—Treasury/Customs.

System location: Room 102, Federal Building, 511 N.W. Broadway, Portland, Oregon 97209.

Categories of individuals covered by the system: Employees of Portland District authorized to drive government vehicles.

Categories of records in the system: Name, position, driving record of employee.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To account for those employees to whom driver's licenses have been issued and to maintain information concerning their driving record.

For additional routine uses see Appendix AA.

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

Storage: Maintained in index card file. Stored in unlocked metal cabinet.

Retrievability: Information is on cards, indexed alphabetically by name of individual.

Safeguards: The office and building are locked during non-working hours.

Retention and disposal: Retained 2 years, then destroyed.

System manager(s) and address: District Director, Federal Building Room 198, 511 N.W. Broadway, Portland, Oregon 97209.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information furnished by employee and his supervisors. Accident reports.

Treasury/Customs 00.154

System name: Narcotics Importers—Treasury/Customs.

System location: Area Director, N.Y. Seaport Area, 6 World Trade Center, New York, N.Y. 10048.

Categories of individuals covered by the system: All individuals and companies importing dangerous drugs.

Categories of records in the system: B.N.D. Form 35, Ed. 9-68 on individuals and companies importing opium and coca leaves.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system or records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Customs officers who process importation of such drugs keep records of dangerous drugs imported into the United States.

For additional routine uses, see Appendix AA.

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

Storage: Paper.

Retrievability: Alphabetical listing.

Safeguards: Office locked at end of day.

Retention and disposal: Permanent record.

System manager(s) and address: Regional Commissioner (Area Director, New York Seaport Area) See location above.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to

the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information supplied by Importer and Customs Officers.

Treasury/Customs 00.155

System name: Narcotics Suspect File—Treasury/Customs.

System location: Customs Patrol Office, Room 807, Appraisers' Stores Building, 103 South Gay Street, Baltimore, Maryland 21202 (after August 1975, Customs Patrol Office, Room 15, U.S. Customhouse, 40 South Gay Street, Baltimore, Maryland 21202).

Categories of individuals covered by the system: Known violators of Federal narcotics laws. Suspected violators of Federal narcotics laws. Associates of known and suspected violators. Informants and other persons of interest to patrol officers in the performance of their duties.

Categories of records in the system: Criminal and civil case files; information of possible violators, informant files, known suspect files, and files of information of interest to patrol officers.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used by patrol officers to determine an individual's previous record when determining the proper recommendations for criminal and civil penalties; (d) Used by patrol officers to determine patterns of violations and assist in the more efficient performance of their duties; (e) Used by officers and employees of the Customs Service and the Department of the Treasury to compile statistics and determine patterns of violators; (f) In the event that this system of records includes information which indicates a violation or possible violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; (g) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (h) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the ex-

tent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in file folders and stored in metal file cabinets which are located in locked or occupied offices which are located in locked and guarded Federal Buildings.

Retrievability: A manual master card index is maintained for the entire system. This index includes name and/or numerical identifier.

Safeguards: In addition to being stored in secure metal containers, the containers are maintained in offices which are either occupied or locked at all times. These offices are located in locked Federal buildings.

Retention and disposal: The file records are maintained indefinitely.

System manager(s) and address: Director, Baltimore Patrol Division, Appraisers' Stores Building, Room 807, 103 South Gay Street, Baltimore, Maryland 21202, (after August 1975, Director, Baltimore Patrol Division, U.S. Customhouse, Room 17, 40 South Gay Street, Baltimore, Maryland 21212).

Systems exempted from certain provisions of the act: QD

The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system or records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.156

System name: Narcotic Violator File—Treasury/Customs.

System location: Fines, Penalties and Forfeitures Office, District Director of Customs, Room 603, U.S. Federal Building, 111 West Huron Street, Buffalo, New York 14202.

Categories of individuals covered by the system: Persons who have been found in possession of any controlled substance within the Buffalo District.

Categories of records in the system: Alphabetized cross reference of violators names and the associated case numbers assigned to these individuals.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of the law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Open card file (3 x 5) is kept in metal flip file.

Retrievability: Narcotic violator case files are cross-referenced by a 3 x 5 alphabetized card which contains both name and case number.

Safeguards: Open card file is kept in the Fines, Penalties and Forfeitures Office which is locked after working hours. During working hours, a staff person is always in the office. The building is under 24-hour guard.

Retention and disposal: File system has a purge date of two years after which cross reference cards are destroyed and case numbered file is no longer accessible by name of the individual.

System manager(s) and address: District Director, United States Customs Service, Room 603, 111 West Huron Street, Buffalo, New York 14202.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See access above.

Record source categories: The information in these files is obtained from Search/Arrest and Seizure Reports transmitted to the Fines, Penalties and Forfeitures Office by ports and stations within the district.

Treasury/Customs 00.158

System name: Non-Disciplinary Grievance Case Files—Treasury/Customs.

System location: Located in the Personnel Management Division of each region and Headquarters according to list in Customs Appendix A.

Categories of individuals covered by the system: Customs employees who have non-disciplinary grievances pending or completed.

Categories of records in the system: Copy of grievance, minutes of meetings, management's attempt at resolution, decision, recommendations of grievance examiner, and other related materials.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation, or order issued pursuant thereto; (d) Used by certain members of the Personnel Management Division or their supervisors as maintenance of records in the event of further grievances and for statistical use in reporting.

For additional routine uses see Appendix AA.

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

Storage: Records are stored in manila folders.

Retrievability: Records are indexed by name.

Safeguards: Records are maintained in locked files and treated as "For Official Use Only".

Retention and disposal: Records are maintained for five years, then transferred to the Federal Records Center where they are retained for fifteen years and then destroyed.

System manager(s) and address: Director, Personnel Management Division, in each region and Headquarters.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Employees, supervisors, and grievance examiners.

Treasury/Customs 00.159

System name: Notification of Personnel Management Division when an employee is placed under investigation by the Office of Internal Affairs—Treasury/Customs.

System location: Personnel Management Division, 500 Dallas Street, Houston, Texas 77002.

Categories of individuals covered by the system: Customs employees who are suspected of misconduct.

Categories of records in the system: A written or telephonic notification made by the Office of Internal Affairs that an investigation has been opened on an individual employee.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Notification serves to notify certain Personnel Management Division employees of the investigation to assure compliance with Chapter 751 of the Customs Personnel Manual which precludes the processing of certain personnel actions while employees are under investigation. Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

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

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

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

For additional routine uses see Appendix AA.

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

Storage: Notifications provided by the Office of Internal Affairs are maintained in a file folder and stored in a metal security cabinet equipped with a lock.

Retrievability: The file contains the name of the employee; therefore retrievability is by the individual's name.

Safeguards: A metal container, described above, is maintained within the area assigned to Personnel Management in the One Allen Center Building. During non-working hours, the room in which the metal container is kept is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: The name file is retained until notification has been received that the investigation has been cancelled or on receipt of a report of investigation from the Office of Internal Affairs.

System manager(s) and address: Director, Personnel Management Division, 500 Dallas Street, Houston, Texas 77002.

Record source categories: The only source of notification that an employee has been placed under investigation is the Regional Director, Internal Affairs.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.160

System name: Operations Officer's (Classification and Value) Work Accomplishments—Treasury/U.S. Customs.

System location: Office of the Regional Commissioner, U.S. Customs Service Classification and Value Division, 55 East Monroe Street, Suite 1501, Chicago, Illinois 60603.

Categories of individuals covered by the system: Operations Officers in the Classification and Value Division.

Categories of records in the system: Travel File—Names, dates, purpose and locations travelled. Assignments Folder—Correspondence of specific assignments filed by name. Reading File—Copies of all originally written documents filed by name.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Historic record of work accomplishments in one file by name. (d) It is used as a file index to locate the master file record.

For additional routine uses see Appendix AA.

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

Storage: File folder under secretarial control.

Retrievability: Manual file system.

Safeguards: Stored in the division area away from unescorted public.

Retention and disposal: Filed for five years then destroyed.

System manager(s) and address: Regional Commissioner, U.S. Customs Service, 55 East Monroe, Suite 1501, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The sources are from the Operations Officers and a copy of typewritten work.

Treasury/Customs 00.275

System name: Operator Identification File—Treasury/Customs.

System location: Honeywell Computer Center, 7900 Westpark Drive, McLean, Virginia.

Categories of individuals covered by the system: Customs Service employees who are authorized to operate computer terminals under the AMPS/Entry Processing System.

Categories of records in the system: Terminal identification number, operator identification number, operator name, and transaction class code.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. Such duties include collecting statistics for supervisors and management and ensuring that only authorized persons have access to information on transactions contained in the AMPS/Entry Processing System and that only authorized terminals are utilized on authorized transactions; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Magnetic disc.

Retrievability: By operator name or identification number.

Safeguards: The terminal is locked when not in use, the entrances to the building are locked, the building is patrolled by security guards, and access to the file is restricted to authorized persons.

Retention and disposal: The file is retained indefinitely but is periodically updated to reflect changes in the employment or authorization of each operator.

System manager(s) and address: Director, Duty Assessment Division, Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content,

shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Administratively created through Internal Customs Service records.

Treasury/Customs 00.161

System name: Optional Retirement List—Treasury/Customs.

System location: Personnel Management Division, U.S. Customs Service, Region 1, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Categories of individuals covered by the system: All employees who are eligible for optional retirement.

Categories of records in the system: Name, date of mandatory retirement, and service computation date.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552). (c) In the event that this system of records includes information which indicates a violation or potential violation of law whether civil, criminal, or regulatory in nature and whether arising by general statute or particular program statute or by regulation, rule, or order issued pursuant thereto the relevant records in the system of records may be referred, as a routine use, to the appropriate agency whether Federal, state, local, or foreign charged with the responsibility of investigating or prosecuting the statute or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee; the issuance of a security clearance; the letting of a contract; or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency in response to its request in connection with the hiring or retention of an employee; the issuance of a security clearance; the reporting of an investigation of an employee; the letting of a contract; or the issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Maintained in a locked file cabinet.

Retrievability: By name.

Safeguards: Accessible only to the Personnel Officer. The area in which these records are stored is locked during non-working hours, and the building is guarded by uniformed security police.

Retention and disposal: Records are retained for two years then destroyed.

System manager(s) and address: Director, Personnel Management Division, U.S. Customs Service, Region 1, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, DC 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, DC 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information is obtained from the Employees Service Record Report.

Treasury/Customs 00.162

System name: Organization (Customs) and Automated Position Management System (COAPMS)—Treasury/Customs.

System location: Personnel Management Division, U.S. Customs Service, Washington, D.C. 20229.

Categories of individuals covered by the system: All Customs employees by organizational entity.

Categories of records in the system: Position control number and other personnel data such as social security number, date of birth, name, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required

in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used by managers and planners at all levels for position control purposes.

For additional routine uses see Appendix AA.

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

Storage: Records are stored on Mag-tape.

Retrievability: Records are indexed by organizational segment, code, position control number, and name.

Safeguards: Limited access.

Retention and disposal: Records are maintained on mag-tapes indefinitely or until employee separation.

System manager(s) and address: Director, Personnel Management Division, U.S. Customs Service, Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Classification and Value Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: COAPMS is composed of four basic inputs: CF-105-Position Change Form—presently prepared by the Headquarters Personnel Branch and operating offices, Post of Duty Codes—established by the Accounting Division, Ceilings—established by the Budget Division, CF-112—a Request for PPBS Code and Standard Abbreviation of Position.

In addition to these four sources, the IRS payroll tape has many inputs—1150, 1125, 50, 52, union dues, etc., and Accounting tape K from IRS.

Treasury/Customs 00.163

System name: Outside Employment Requests—Treasury/Customs.

System location: Located in the Personnel Management Division of each Region and Headquarters and/or appropriate District, Port, or post of duty office of employee making request.

Categories of individuals covered by the system: All employees engaged in outside employment.

Categories of records in the system: Outside employment request.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552). (c) Used to ensure the Customs employees are not engaged in other employment that would create a conflict of interest with Customs Service or Treasury Department.

For additional routine uses see Appendix AA.

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

Storage: CF-3031 kept in manila folder.

Retrievability: By employee name.

Safeguards: Locked file cabinet or limited access offices.

Retention and disposal: Until disengagement from outside employment or employee separation.

System manager(s) and address: Director, Personnel Management Division in each regional office and Headquarters and/or appropriate managerial official in each port or district of employee.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting

identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Employee submission of form CF-3031.

Treasury/Customs 00.164

System name: Overtime Earnings—Treasury/Customs.

System location: Office of the Regional Commissioner, Region IX, Inspection and Control Division, 55 East Monroe Street, Suite 1501, Chicago, Illinois 60603 and each District Director's office in Region IX.

Categories of individuals covered by the system: U.S. Customs inspectional and warehouse personnel engaged in performance of overtime and reimbursable work assignments in Region IX.

Categories of records in the system: Summary of total overtime earnings for individual employees participating in overtime assignments in Region IX.

Authority for maintenance of the system: Sec. 19 and 24 of the Occupational Safety and Health Act of 1970, 84 Stat. 1609, 1614, 29 U.S.C. 668, 673 and the provisions of Executive Order 11807.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Review of overtime earnings to insure required equalization of overtime is maintained in each port in Region IX.

For additional routine uses see Appendix AA.

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

Storage: Kept in loose leaf binder in alphabetical listing by individual name and kept in the office of the Director, Inspection and Control Division, Region IX.

Retrievability: By individual name in alphabetical order.

Safeguards: Locked in the desk of Director, Inspection and Control Division and made available only to authorized U.S. Customs personnel.

Retention and disposal: Retained for two years then destroyed.

System manager(s) and address: Director, Inspection and Control Division, Region IX, 55 East Monroe, Suite 1501, Chicago, Illinois 60603 and respective District Directors.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix

A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Contesting record procedures: See Access above.

Record source categories: Record is compiled from information supplied by employee on Customs Form 6082 (Work Ticket) that is completed for each overtime assignment worked.

Treasury/Customs 00.165

System name: Overtime Earnings—Treasury/Customs.

System location: Inspection and Control Division, San Francisco District, 555 Battery Street, Room 111, San Francisco, CA 94126.

Categories of individuals covered by the system: Inspection and Control employees participating in overtime assignments within the district of San Francisco.

Categories of records in the system: Name and the total current monetary earnings computed to the nearest dollar.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) To maintain records of extra compensation earnings on a yearly basis for each employee in each participating group, i.e., Customs Inspectors, Supervisory Customs Inspectors, Inspectional Aids, etc. (b) A report of the monetary earnings from each overtime participant is given to each station supervisor every two weeks. (c) The report is available to all employees.

For additional routine uses see Appendix AA.

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

Storage: The information is kept on a visible chart board and the information on earnings is constantly changing.

Retrievability: The individual's name appears alphabetically according to their geographical location within the Port.

Safeguards: The room wherein the visible chart is kept, is locked at other than regular working hours.

Retention and disposal: The information on each employee constantly changes and is maintained as long as the employee is working in the inspection overtime system.

System manager(s) and address: Supervisory Customs Inspector, Station 1, U.S. Customs Service, 555 Battery Street, Room 111, San Francisco, California 94126.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or will-

fully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Contesting record procedures: See Access above.

Record source categories: Information is obtained from actual overtime earnings made by each employee in the system.

Treasury/Customs 00.166

System name:	Overtime	Earnings	Daily	Log
Book—Treasury/Customs.				

System location: Chief Inspector, 1001 N. American Way, Miami, Fla., Port Director of Customs, Port Everglades, Fla., Port Director of Customs, West Palm Beach, Fla., Director Airport Operations, Miami International Airport.

Categories of individuals covered by the system: All participants in overtime.

Categories of records in the system: Monetary amount of overtime earned.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Supervisors and participants in overtime earnings; (d) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (e) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, of the issuance of a license, grant, or other benefit; (f) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Record is kept in file folders at assignment offices listed under location.

Retrievability: Records are retrievable by name of participant.

Safeguards: Record is kept in non-public portions of listed offices.

Retention and disposal: Records are kept on a calendar year basis and are disposed of after computer printouts are received.

System manager(s) and address: District Director of Customs, 100 N.E. 7th St., Miami, Fla. 33132.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Contesting record procedures: See Access above.

Record source categories: Information for this record is obtained from the overtime work tickets.

Treasury/Customs 00.167

System name:	Overtime Earnings Record—Customs Warehouse Officers—Treasury/Customs.
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System location: Office of the Supervisory Warehouse Officer, U.S. Customhouse, Room 103, 2nd & Chestnut Streets, Philadelphia, Pa. 19106.

Categories of individuals covered by the system: Customs Warehouse Officers under the supervision of the Philadelphia District who participate in 1911 Overtime earnings.

Categories of records in the system: Bi-monthly postings of participating employees' actual 1911 Overtime earnings.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Each posting is made manually on a 5 inch by 8 inch index card which is filed in the Supervisory Warehouse Officer's desk.

Retrievability: Each card is identified by the name of the Warehouse Officer and his grade.

Safeguards: The records are kept in a closed desk drawer; during working hours, only the Supervisory Warehouse Officer has access to the desk. During non-working hours, the building is either locked or controlled by uniformed guards.

Retention and disposal: Overtime earnings records of Customs Warehouse Officers are kept for one year and then destroyed.

System manager(s) and address: District Director of Customs, U.S. Customhouse, 2nd & Chestnut Streets, Philadelphia, Pa. 19106.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, NW, Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C.

20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Contesting record procedures: See Access above.

Record source categories: The information contained in these files originates from a bi-monthly data center print-out, number RCS-AA66-10, for the Port of Philadelphia.

Treasury/Customs 00.168

System name: Overtime File—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif.; Offices of the Port Directors, San Ysidro, Calif.; Tecate, Calif.; Calexico, Calif.; Andrade, Calif.; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif.; San Ysidro, Calif.; Calexico, Calif.; Tecate, Calif.; according to the list that is attached as Customs Appendix A.

Categories of individuals covered by the system: All Customs employees earning overtime.

Categories of records in the system: Annual earning list; bi-weekly earning list of overtime for each Customs Officer.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended and the Customs Regulations, Customs Accounting Manual, and Government Accounting Office Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure of those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (f) Maintained to insure equal earnings and maintain master list of earnings to date.

For additional routine uses see Appendix AA.

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

Storage: Paper-File cabinets.

Retrievability: Alphabetical order by name.

Safeguards: Locked doors.

Retention and disposal: 3 years and then destroyed.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Contesting record procedures: See Access above.

Record source categories: Information comes from each individual employee's overtime work ticket and computer printout.

Treasury/Customs 00.169

System name: Overtime Log—Treasury/Customs.

System location: U.S. Customs Service, Honolulu International Airport, Honolulu, Hawaii 96819.

Categories of individuals covered by the system: Employees of U.S. Customs Service participating in overtime under the Act of Feb. 13, 1911.

Categories of records in the system: Name, overtime rate, overtime amount earned by date, overtime earned on holiday or Sunday or during any other night, and running total of earnings.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) To keep a record of overtime earnings worked by each individual participant. (b) To keep a record of overtime earnings by different participating groups; i.e., Inspectors, Supervisory Customs Inspectors,

Warehouse officers, etc. (c) Used to make a daily list of overtime participants by earnings.

For additional routine uses see Appendix AA.

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

Storage: The information in this system is contained on loose leaf folder paper in a black binder. This binder is located adjacent to the documents examiner's desk.

Retrievability: Each loose leaf folder paper is identified by name and is filed according to current overtime earnings and participating groups.

Safeguards: The documents examiner's desk is located next to the manifest desk in the U.S. Customs Service office. The manifest desk is manned 24 hours a day, seven days a week by Customs personnel.

Retention and disposal: The files are kept in the binder for one calendar year then placed in a folder, boxed, sealed, labeled and placed in our locked storeroom. The files are destroyed after five years.

System manager(s) and address: District Director of Customs, U.S. Customs Service, Honolulu, Hawaii 96819.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Contesting record procedures: See Access above.

Record source categories: Overtime records are compiled by Customs personnel responsible for accounting for overtime.

Treasury/Customs 00.170

System name: Overtime Reports—Treasury/Customs.

System location: U.S. Customs Service, Office of Investigations, Region V, RDI, 2900 Plaza Tower Building, New Orleans, La. 70113; SAC, P.O. Box 1704, Mobile, Ala. 36601; RA, 1719 West End Building, Rm. 303, Nashville, Tenn., 37203.

Categories of individuals covered by the system: All Special Agents in region certified to receive premium compensation.

Categories of records in the system: Numbers of hours worked by Special Agents over and above the normal 40 hour week.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Record of number of unscheduled overtime hours worked by each Special Agent.

For additional routine uses see Appendix AA.

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

Storage: These forms are maintained in file folders in a locked filing cabinet.

Retrievability: Files are kept in alphabetical order.

Safeguards: During non-working hours the rooms in which the above described containers are located are locked.

Retention and disposal: These files are maintained on Special Agents and are destroyed three years after agent leaves agency or office.

System manager(s) and address: Regional Director, Investigations, U.S. Customs Service, Office of Investigations, 2900 Plaza Tower Building, New Orleans, La. 70113; Special Agent in Charge, U.S. Customs Service, Office of Investigations, P.O. Box 1704, Mobile, Ala., 36601; Resident Agent, U.S. Customs Service, Office of Investigations, 1719 West End Building, Rm. 303, Nashville, Tenn., 37203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting

identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in these files originates with, and consists solely of information supplied by employees.

Treasury/Customs 00.171

System name: Parking Permit File—Treasury/Customs.

System location: Logistics Management Division, U.S. Customs Service Headquarters, Room 1415, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Individuals and members of car pools to whom vehicle parking permits have been issued.

Categories of records in the system: Name, home phone number, home address, organization, office telephone number, years of service, and make, year, license number and registration number of vehicle.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used administratively by Customs Service Headquarters to evaluate applications and to assign and monitor available parking spaces; (d) Disclosure to the General Services Administration for that agency's official use.

For additional routine uses see Appendix AA.

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

Storage: The information in this system is contained on GSA Forms 7415 (Parking Permit Applications) which consist of index card applications. The index card applications are placed within a file box which is located in a metal file container.

Retrievability: Each index card is identified by the name of the applicant, and the cards are filed alphabetically within the file box.

Safeguards: The card file box is placed within a metal cabinet which is located within an office that is locked during non-working hours. The building is guarded by uniformed security police, and only authorized persons are permitted in the building.

Retention and disposal: Active index cards are retained in this system indefinitely. However, the information in this system is reviewed every six months, and outdated index cards are discarded.

System manager(s) and address: Chief, Headquarters Support Branch, Logistics Management Division, U.S. Customs Service Headquarters, Room 1337, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person

under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this system originates with, and consists solely of, information supplied by the applicant(s) on GSA Form 7415 (Parking Permit Application).

Treasury/Customs 00.172.

System name: Parking Permits File (N.Y. Region)—Treasury/Customs.

System location: U.S. Customs Service, Assistant Regional Commissioner (Administration), 6 World Trade Center, New York, N.Y. 10048.

Categories of individuals covered by the system: Organizational units and persons holding parking permits.

Categories of records in the system: Name of person issued parking permit, and number of parking spot assigned.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) To keep track of permits issued and to identify the holder of the permit if violations occur or problems develop (i.e. car lights left on).

For additional routine uses see Appendix AA.

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

Storage: Paper files.

Retrievability: By name.

Safeguards: Office locked at night.

Retention and disposal: Retained until changed.

System manager(s) and address: Regional Commissioner of Customs, U.S. Customs Service, 6 World Trade Center, New York, N.Y. 10048.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the

Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information is compiled when parking permit is assigned.

Treasury/Customs 00.173

System name: Parking Space File (Los Angeles Region)—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif.; San Ysidro Border Station employee parking lot. (See Customs Appendix A).

Categories of individuals covered by the system: Individuals issued electronic gate cards and numbered bumper stickers.

Categories of records in the system: Alphabetical record of individuals.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged

with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine" use to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. Available to GSA and supervisors who have need for information. (f) Used to control access and space allocations.

For additional routine uses see Appendix AA.

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

Storage: Maintained in Clerk-Secretary file cabinet.

Retrievability: Maintained alphabetically.

Safeguards: Not available to public.

Retention and disposal: Indefinite.

System manager(s) and address: District Director, San Diego, Calif.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement, asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand

dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information collected when permits issued.

Treasury/Customs 00.174

System name: Passengers' Declarations File—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif.; Offices of the Port Directors, San Ysidro, Calif.; Tecate, Calif.; Calexico, Calif.; Andrade, Calif.; San Diego, Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif.; San Ysidro, Calif.; Calexico, Calif.; Tecate, Calif.; according to the list that is attached as Customs Appendix A.

Categories of individuals covered by the system: All persons arriving from foreign countries via commercial vessel or aircraft.

Categories of records in the system: Name, date of birth, citizenship, vessel's name, permanent address, address while in the U.S., names and relationships of accompanying family members; any plant material, fruit, currency or negotiable instruments valued at over five thousand dollars in U.S. currency; place where visa issued and visa number; description of articles and value at the time of entrance.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended and the Customs Regulations and Customs Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure of those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (f) To maintain records relating to all individuals arriving from foreign countries, citizenship, and personal belongings; foreign purchases, etc.

For additional routine uses see Appendix AA.

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

Storage: In file cabinets.

Retrievability: By vessel or aircraft flight number; name.

Safeguards: Building locked at night.

Retention and disposal: 3 years.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Con-

stitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Each arriving individual is required to fill this form out and submit it to the Customs Officer or Immigration Officer.

Treasury/Customs 00.175

System name: Patrol Division Daily Activity Report—Treasury/Customs.

System location: Offices of the Patrol Division, Chicago District, Detroit District and Pembina District, Region IX, Chicago, Illinois. See Customs Appendix A.

Categories of individuals covered by the system: Individuals employed as Customs Patrol Officers.

Categories of records in the system: Internal Patrol Division folder maintained by Director, Patrol, by name to record work performance on a daily basis of each individual Patrol Officer. Also, individual record of scheduled overtime, sick or annual leave hours.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used to maintain evaluation rating on employees of Patrol Division;

For additional routine uses see Appendix AA.

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

Storage: Individual activity records are maintained in file folders stored in a locked metal file cabinet.

Retrievability: Each folder is filed alphabetically by an individual's name.

Safeguards: File folders are kept in a locked metal file cabinet which is located in an office that is locked during non-working hours.

Retention and disposal: Folders are maintained for the duration of an employee's service with the Patrol Division and then destroyed.

System manager(s) and address: Supervisory Customs Patrol Officers, Chicago District, Detroit District and Pembina District, Region IX, Chicago, Illinois. See Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in this record system originates from reports of Customs Patrol Officers involving records of their daily patrol activities.

Treasury/Customs 00.176

System name: Patrol Information Data System—Treasury/Customs.

System location: Office of Director, District Patrol Division, U.S. Customs Service, Room 1400 Customhouse, Boston, Massachusetts 02109.

Categories of individuals covered by the system: Customs violators, suspects, known narcotic violators; business names; suspect vessels, aircraft and vehicles.

Categories of records in the system: Name, address and numerical file reference number and date.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the record contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used as an aid to investigating suspected law violations. Used to alert patrol officers of persons to watch for;

For additional routine uses see Appendix AA.

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

Storage: 3 x 5 index card with name, address and related number filed in metal index file drawer.

Retrievability: By name.

Safeguards: The metal index file is maintained within the office of Director, District Patrol Division. The room is locked during non-working hours.

Retention and disposal: These files are retained for a period of three years and then destroyed.

System manager(s) and address: District Director of Customs, U.S. Customhouse, 2 India Street, Boston, Massachusetts 02109.

Notification procedure: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Record access procedures: Same as Notification above.

Contesting record procedures: Same as Notification above.

Record source categories: Same as Notification above.

Systems exempted from certain provisions of the act: Same as Notification above.

Treasury/Customs 00.177

System name: Patrol Officer Activity Listing—Treasury/Customs.

System location: Regional Patrol Division, U.S. Customs Service, Region I, John F. Kennedy Federal Building, Boston, Mass. 02203.

Categories of individuals covered by the system: Employees of the Regional Patrol Division, Boston, Massachusetts.

Categories of records in the system: Ledger listing of arrests, seizures and other job-related activities.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used as an administrative tool to keep track of the activities performed by each patrol officer;

For additional routine uses see Appendix AA.

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

Storage: Ledger.

Retrievability: Alphabetical by name.

Safeguards: Locked file.

Retention and disposal: Individual record retained while employee is assigned to the Regional Patrol Division. Upon separation of employee, individual record is destroyed.

System manager(s) and address: Director, Regional Patrol Division, U.S. Customs Service, Region I, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the

Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service, Headquarters, 301 Constitution Avenue, N.W., Washington, DC 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information is obtained from reports prepared by the Patrol Officers.

Treasury/Customs 00.179

System name: Patrol Officers Case File—Treasury/Customs.

System location: (a) Customs Patrol Office, Room 807, Appraisers' Stores Building, 103 S. Gay St., Baltimore, Maryland 21202. After August, 1975, Customs Patrol Office, Room 15, U.S. Customhouse, 40 S. Gay Street, Baltimore, Maryland 21202; (b) Customs Patrol Office, Room 207, U.S. Customhouse, 101 East Main Street, Norfolk, Virginia 23510; (c) Customs Patrol Office, International Arrivals Area, Dulles International Airport, Washington, D.C. 20041.

Categories of individuals covered by the system: Known criminal and civil violators of Federal, state and local laws, statutes and ordinances. Suspected criminal and civil violators of Federal, state and local laws, statutes and ordinances. Associates of known and suspected violators of Federal, state and local laws, statutes and ordinances. Other persons of interest to patrol officers in the carrying out of their functions.

Categories of records in the system: Criminal and civil case files; information of possible violators, known suspect files, and files on information of interest to patrol officers.

Authority for maintenance of the system: 5 USC 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosures to those officers and employees of the Customs Service

and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in the administration of the Freedom of Information Act (5 USC 552); (c) Used by patrol officers to determine an individual's previous record when determining the proper recommendations for criminal and civil penalties; (d) Used by patrol officers to determine patterns of violations and assist in the more efficient performance of their duties; (e) Used by officers and employees of the Customs Service and the Department of the Treasury to compile statistics and determine patterns of violators; (f) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; (g) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (h) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter;

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in file folders and stored in metal file cabinets which are located in locked or occupied offices which are located in locked and guarded Federal buildings.

Retrievability: A manual master card index is maintained for the entire system. This index includes name and/or numerical identifier.

Safeguards: In addition to being stored in secure metal containers, the containers are maintained in offices which are either occupied or locked at all times. These offices are located in locked Federal buildings.

Retention and disposal: The file records are maintained indefinitely.

System manager(s) and address: Director, Baltimore Patrol Division, Appraiser's Stores Building, Room 807, 103 South Gay Street, Baltimore, Maryland 21202 (after August, 1975, Director, Baltimore Patrol Division, U.S. Customhouse, Room 17, 40 South Gay Street, Baltimore, Maryland 21212).

Notification procedure: This system is exempted elsewhere in the Federal Register.

Record access procedures: Same as Notification above.

Contesting record procedures: Same as Notification above.

Record source categories: Same as Notification above.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.178

System name: Payroll Administration/Problems—Treasury/Customs.

System location: Personnel Management Division, U.S. Customs Service, Region I, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Categories of individuals covered by the system: Any individual employed by Region I who has a payroll problem.

Categories of records in the system: Name, social security number, office location, type of problem and background.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter;

For additional routine uses see Appendix AA.

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

Storage: Stored in locked cabinet.

Retrievability: By District and name.

Safeguards: Records are accessible to employees of Personnel Management Division whose duties require them to use these records. In addition to being stored in a locked cabinet, the area in which the records are located is locked during non-working hours and the building is guarded by uniformed security police.

Retention and disposal: Records are destroyed three months after resolution of the problem.

System manager(s) and address: Director, Personnel Management Division, U.S. Customs Service, Region I, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington DC 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content

shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, DC 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information is supplied by the employee who has the problem.

Treasury/Customs 00.180

System name: Payroll Record of Employees Not Covered By The Automated System—Treasury/Customs.

System location: Financial Management Division, U.S. Customs Service, Region I, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Categories of individuals covered by the system: Records of various types of earnings and taxes withheld from employees who are not covered by the automated payroll system.

Categories of records in the system: Recorded detail of earnings and taxes.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) The system is used as a record for reporting and paying payroll taxes;

For additional routine uses see Appendix AA.

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

Storage: Data is placed in a file folder maintained in an unlocked file cabinet located within the Payment Section work area.

Retrievability: Each file is identified by the name of the individual.

Safeguards: The file is located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted entry to the building.

Retention and disposal: The files are retained for two years on the premises and then sent to the Federal Records Center where they are retained for three years and then destroyed.

System manager(s) and address: Director, Financial Management Division, U.S. Customs Service, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in the system originates from the individual's preparation of his travel voucher and compensation forms.

Treasury/Customs 00.181

System name: Payroll Report—Treasury/Customs.

System location: Financial Management Division, U.S. Customs Service, Region V, 701 Loyola Avenue, New Orleans, Louisiana 70113.

Categories of individuals covered by the system: All Region V employees.

Categories of records in the system: All pay and deductions paid Region employees on a biweekly basis.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) To verify the accuracy of pay due employees; (b) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (c) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552);

For additional routine uses see Appendix AA.

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

Storage: ADP printouts, unlocked cabinets.

Retrievability: Social Security number.

Safeguards: Usage limited to Region personnel.

Retention and disposal: In accordance with Records Control Manual.

System manager(s) and address: Director, Financial Management Division, U.S. Customs Service, Region V, 701 Loyola Avenue, New Orleans, Louisiana 70113.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Personnel and payroll action documents.

Treasury/Customs 00.182

System name: Penalty Case File—Treasury/Customs.

System location: Office of Regional Commissioner of Customs, John F. Kennedy Federal Bldg., Room 2411, Boston, Massachusetts 02203.

Categories of individuals covered by the system: Individuals who have submitted supplemental petitions in relation to penalties, claims for liquidated damages or forfeitures of property which are being processed by the U.S. Customs Service, Region I and which have been referred to the Regional Commissioner of Customs, Region I.

Categories of records in the system: (a) Reports relative to the circumstances of an alleged violation (including any Customs forms or documents relating to the incident, agents' investigative reports, seizure reports); (b) Reports relative to an individual's economic interest in a penalty case; (c) Investigative reports relative to claims made in petitions for relief; (d) Recommendations made by other Government agencies that have an interest in the case.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter;

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by name of alleged violator.

Safeguards: Open case files maintained in file cabinets with access by Regional Counsel and his staff only; closed case files maintained in locked file cabinet with keys retained by Regional Counsel and his staff only.

Retention and disposal: Retained indefinitely or until there is no longer any space available within metal cabinets, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Regional Commissioner of Customs, John F. Kennedy Federal Bldg., Room 2411, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present

adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Exemption below.

Record source categories: The information contained in these files is received from U.S. Customs employees, reports of investigation, petitions for relief, other Government agencies with an interest in the case and members of the general public who have pertinent information.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a(j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.183

System name: Personal Search (Negative)—Treasury/ Customs.

System location: All ports, Region IX, Chicago, Illinois.

Categories of individuals covered by the system: All individuals subject to U.S. Customs inspection.

Categories of records in the system: Records contain date, time and place of search in addition to reason for and result of search, names of Customs officers conducting and authorizing search, name and address and date of birth of parties searched.

Authority for maintenance of the system: 19 U.S.C. 482; 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552);

For additional routine uses see Appendix AA.

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

Storage: Files are located in Port Office.

Retrievability: Records kept in alphabetical order.

Safeguards: The cabinet described above is maintained within the area assigned in the Customs office. During non-working hours the room and/or building in which the cabinet is located is locked.

Retention and disposal: Files are retained in Port Office for five years after which they are destroyed.

System manager(s) and address: District Directors/Port Directors as applicable, in Region IX, Chicago, Illinois.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or will-

fully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Form is prepared by Customs offices performing the personal search and is the sole source of information.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.184

System name: Personal Search N.Y. District (Negative results)—Treasury/Customs.

System location: District Director, U.S. Customhouse, 127 North Water Street, Ogdensburg, NY 13699.

Categories of individuals covered by the system: Any person who an inspector at any port or station in the district has deemed should be searched because of his appearance, associations, or other valid reason.

Categories of records in the system: Name, address, date of birth, social security number, place of birth, occupation, driver's license number, and other identification number.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Means of determining number of personal searches being performed (to see authority is not abused). Establishes a record in case of complaint; (b) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (c) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (d) In the event that this system of records includes information which indicates a violation or potential violation of law whether civil, criminal, or regulatory in nature and whether arising by general statute or particular program statute or by regulation, rule, or order issued pursuant thereto the relevant records in the system of records may be referred, as a routine use, to the up-

appropriate agency whether Federal, state, local, or foreign charged with the responsibility of investigating or prosecuting the statute or rule, regulation, or order issued pursuant thereto; (e) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee; the issuance of a security clearance; the letting of a contract; or the issuance of a license, grant, or other benefit; (f) A record from this system of records may be disclosed to a Federal agency in response to its request in connection with the hiring or retention of an employee; the issuance of a security clearance; the reporting of an investigation of an employee; the letting of a contract; or the issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on the matter;

For additional routine uses see Appendix AA.

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

Storage: In file jackets in steel file cabinet.

Retrievability: By name.

Safeguards: Available to the District Director and authorized personnel of his staff only.

Retention and disposal: Retained for five years then destroyed by burning or shredding.

System manager(s) and address: District Director, U.S. Customs, 127 North Water Street, Ogdensburg, N.Y. 13699.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

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dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: From inspectors throughout the district.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.185

System name: Personal Search—Negative (District Director—Mobile, Alabama)—Treasury/Customs.

System location: District Director of Customs, Room 218, International Trade Center, 250 North Water Street, Mobile, Alabama 36602.

Categories of individuals covered by the system: Individuals who have been subjected to search by Customs Officers in which no arrest or seizure is made.

Categories of records in the system: CF 151-Search/Arrest/Seizure Report: Used to record any occasion when a Customs Officer is involved or participates in a personal search, an arrest, or a seizure of merchandise or contraband articles. CF 5211-Record Log of Fines, Penalties and Forfeitures-Record, by case number, of all CF 151's issued; reflects name and address of person searched, name of searching officer, reason for search, and brief summary of the situation which resulted in the search.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552);

For additional routine uses see Appendix AA.

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

Storage: File folders.

Retrievability: Violator name and/or penalty case number.

Safeguards: In file cabinets in secure office area which is locked when not occupied, in building with 24-hour guard service.

Retention and disposal: Maintained with penalty case files for five years and after clearance by Security and Audit, shredded on site. CF 5211-(Record Group 217) Retained for 10 yrs. and 3 months and destroyed by shredding after clearance by Security and Audit.

System manager(s) and address: District Director of Customs, P.O. Box 2748, Mobile, Alabama 36601.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, Region V, Room T-13210-V, Postal Service Building, New Orleans, La. 70113, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If any individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of Customs, Region V, Room T-13210-B, Postal Service Building, New Orleans, La. 70113; or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signatures and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Individual involved. Arrest and violation records from Federal, state and local police. Customs Officers. TECS Query and NCIC Query—These systems provide data by name, license numbers and other numerical identifiers on prior records of violations.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.186

System name: Personal Search—Negative (District Patrol—New Orleans, La. and Mobile, Al.)—Treasury/Customs.

System location: Office of the Director, District Patrol, Suite 2800 Plaza Tower Building, 1001 Howard Avenue, New Orleans, Louisiana 70113; Director, District Patrol Division, Room 213, International Trade Center, 250 International Trade Center, 250 N. Water Street, Mobile, Al. 36602.

Categories of individuals covered by the system: Individuals indicating unlawful or suspicious activity that might result in a Customs violation.

Categories of records in the system: Name, address, phone number, place of business, physical description, associates, vessel, automobile, or aircraft identified with, make, year, license number and registration of vehicles, area of activity, method of operation and other relevant and necessary information on individuals suspected of activity contrary to law.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as "routine use" to a Federal,

state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Records maintained in standard Customs file folders in locked metal cabinets.

Retrievability: System indexed by identifying file number and manually retrieved.

Safeguards: File maintained in locked metal file cabinet, the keys of which are controlled by the custodian of the files. Those departmental officials who may occasionally be granted access, consistent with their positions, have been cleared by a full field background investigation and granted appropriate security clearance for critical sensitive positions. During non-working hours, the room housing the metal cabinets is locked.

Retention and disposal: Negative Search Reports are destroyed after a five year period. Method of disposal is shredding.

System manager(s) and address: Director, District Patrol Division, Suite 2800 Plaza Tower Building, 1001 Howard Avenue, New Orleans, Louisiana 70113.

Notification procedure: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A.), or to the Director, Entry Procedure and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: The information in this system originates with, and consists solely of, information supplied by the individual being searched and the patrol officer doing the search.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.187

System name: Personal Search File—Treasury/Customs.

System location: U.S. Customs Service, Honolulu International Airport, Honolulu, Hawaii 96819.

Categories of individuals covered by the system: Passengers, arriving from foreign countries, the Customs Service found necessary to search.

Categories of records in the system: Name, address, date, time, date of birth, region, port, race, sex, carrier, (airline and flight number), description, passport number, birth place, social security number, marital status, citizenship, reasons for search, searching officer, witness, result of search, search authorized by, and extent or type of search.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system are as follows: (a) All three forms used in this system are kept so as to have a clear and concise record of all searches conducted by the U.S. Customs Service; (b) The files are used to answer all inquiries into any aspect of any personal searches conducted at this station; (c) The current CF 151 file is used as the primary input document for the Customs Law Enforcement Activity Reporting (CLEAR) system which provides, in turn, accurate and timely statistical reporting; (d) Disclosure to officers and employees of the Customs Service and the Department of the Treasury who have a need for records in the performance of their duties; (e) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: The information in this system is contained on Region Form VIII-RC-51-BNF, CF 43, CF 151. These forms are found in binders on the reference shelves in the Customs office.

Retrievability: Each form is identified by name and is filed alphabetically. The files are further broken down by form number and calendar year.

Safeguards: The files are located in the Customs office; This office is manned 24 hours a day, 7 days a week by Customs personnel.

Retention and disposal: Active file forms are kept for five years. After five years the files are destroyed.

System manager(s) and address: District Director of Customs, U.S. Customs Service, Honolulu, Hawaii 96819.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in these files originates from personal searches conducted on passengers arriving from foreign destinations.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in Federal Register.

Treasury/Customs 00.188

System name: Personnel Search Report—Treasury/Customs.

System location: Ports of entry, —Nogales, Arizona District.

Categories of individuals covered by the system: Persons on whom personnel searches are performed at the various ports of entry.

Categories of records in the system: Customs Form 151 containing personal information on individual searched and reasons for search.

Authority for maintenance of the system: 19 U.S.C. 1467, 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department, Order No. 165 Revised as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Retained as record to answer inquiries into any aspects of personal searches conducted by the Customs Service. Disclosed to Treasury Department Personnel as necessary for performance of duties. Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Each CF 151 covering personal searches is maintained in alphabetical order at the various ports of entry.

Retrievability: By name of person searched.

Safeguards: Records are retained in file cabinets (lockable) and buildings are locked during other than office hours.

Retention and disposal: Records are retained for 5 years and destroyed by burning.

System manager(s) and address: Port Directors at the various ports of entry in the Nogales, Arizona District.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedure to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information contained herein originates with the Inspector and contains personal information obtained from the individual searched and reasons for performing the search.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.189

System	name:	Personnel	Action	Records
System—Treasury/Customs.				

System location: Office of the Regional Counsel, U.S. Customs Service, Region IX, 55 E. Monroe Street, Room 1417, Chicago, Illinois 60603.

Categories of individuals covered by the system: Persons employed by the Treasury Department, Customs Service who either initiate a grievance, discrimination complaint, an unfair labor practice complaint against the U.S. Customs Service and officer or employee thereof, or have a disciplinary or other adverse action initiated against him or her by the U.S. Customs Service in Region IX.

Categories of records in the system: The Personnel Action Records System contains information regarding employment history, i.e. basic personnel data, age, birth, marital status, address, phone number, general health, details of the incident leading to the grievance, discrimination complaint, disciplinary action, adverse action, or unfair labor practice complaint.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in the Personnel Action Records System of the United States Customs Service are as follows: (a) Disclosure to those officers and employees of the Customs Service, the Department of the Treasury, the Civil Service Commission, and the Department of Justice who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency

maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Information contained in these files is routinely used by the attorneys in the Regional Counsel's office in determining and resolving legal issues related to the personnel action involved, in preparing for, and representing management in, administrative hearings and administrative appeals, and providing information and assistance to U.S. Attorneys and the Department of Justice in litigation. Potential litigation or litigation will require disclosure of the information to the Department of Justice, and this information is often channeled through the Department of the Treasury.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in a file folder which is filed in a lockable drawer within a metal filing cabinet container.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person who initiated the action against the Customs Service, or against whom it was initiated. In addition, each case file is similarly identified on the file folder with the alphabetical name on the file which is placed and located within the metal container.

Safeguards: The metal filing drawer containing the files described above is maintained within the area assigned to the office of the Regional Counsel, Region IX at 55 E. Monroe Street, Chicago, Illinois. During non-working hours, the room in which the metal filing drawer is located is locked, the file container itself is locked, and access to the building is controlled at all times by uniformed guards with a check-in system for employees. Only employees of the Regional Counsel's office and authorized building personnel have keys to the building.

Retention and disposal: These files are retained indefinitely or until there is no longer space available for them within the metal filing cabinet at which time the oldest files are transferred to the storage area within the confines of the office. The storage area is a large area containing cardboard boxes and metal storage cabinets which are not able to be locked. Files which are closed and not retained for precedent purposes are retired to the Federal Records Center, General Service Administration, 7358 S. Pulaski, Chicago, Illinois 60602 in accordance with the U.S. Customs Service Record Disposal Manual.

System manager(s) and address: Regional Counsel of Customs, Room 1417, United States Customs Service, 55 E. Monroe Street, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with the initiation of any personnel action either by or against an employee. The information submitted by the employee is in the file as will be the information submitted by the employer if the action is initiated by the employer. Further information in this file is derived from both employee and employer information of an investigation made by the Office of Internal Affairs; investigation reports by the Office of Investigations; memoranda from the Civil Service Commission and possibly other agencies having employed the individual. Information could also be obtained from Customs employees, former Customs employees, private parties, corporations, confidential informers, credit bureaus, foreign countries or officials thereof, foreign citizens and any other source with information pertinent to the Personnel Action.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.190

System name: Personnel Case File—Treasury/Customs.

System location: Office of the Chief Counsel, Room 3305, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Current or former Customs Service employees against whom disciplinary action has been proposed or taken, who have filed grievances, and who have filed complaints under the Equal Opportunity (EO) Program, in most cases where administrative proceedings have been instituted.

Categories of records in the system: Reports of investigation into alleged employee misconduct, internal Customs Service memoranda recommending disciplinary action, documents relating to the institution or conduct of disciplinary proceedings, documents relating to the filing and administrative disposition of formal and informal grievances and documents relating to the filing and administrative disposition of EO complaints.

Authority for maintenance of the system: Title 5, United States Code; Title 5, Code of Federal Regulations; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. Such duties may include evaluating proposed disciplinary actions, grievances and EO complaints, recommending action to be taken in such cases, preparing necessary decisional documents in such cases, preparing proposed charges where appropriate, preparing for administrative hearings held in regard to these matters and making the records a part of the record at such hearings; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Disclosure to the Civil Service Commission in connection with administrative hearings and to the Department of Justice in connection with court proceedings resulting from appeals from decisions rendered at the administrative level. For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted alphabetically in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person, and each case file is similarly identified in alphabetical order within the metal container.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Chief Counsel within the Customs Service Building. During nonworking hours, the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Record Center.

System manager(s) and address: Chief Counsel, Room 3305, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files results from investigations into alleged misconduct on the part of Customs Service employees; recommendations from appropriate Customs Service field personnel that disciplinary proceedings be instituted against Customs Service employees; the filing of grievances by Customs Service employees, the filing of EO complaints by Customs Service employees, the statements of Customs Service employees including the employees who are directly affected by the administrative proceedings, and statements or other information provided by private nongovernmental individuals.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.191

System name: Personnel Case File—Treasury/Customs.

System location: Regional Counsel of Customs, 6 World Trade Center, New York, N.Y. 10048.

Categories of individuals covered by the system: Current or former Customs Service employees against whom disciplinary action has been proposed or taken, who have filed grievances, and who have filed complaints under the Equal Opportunity (EO) Program, in most cases where administrative proceedings have been instituted.

Categories of records in the system: Reports of investigation into alleged employee misconduct, internal Customs Service memoranda recommending disciplinary action, documents relating to the institution or conduct of disciplinary proceedings, documents relating to the filing and administrative disposition of formal and informal grievances and documents relating to the filing and administrative disposition of EO complaints.

Authority for maintenance of the system: Title 5, United States Code; Title 5, Code of Federal Regulations; 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) The information contained in this file is used administratively to evaluate proposed disciplinary actions, grievances and EO complaints, to recommend action to be taken in such cases, to prepare necessary decisional documents in such cases, and to prepare proposed charges where appropriate. The information contained in this file is used to prepare for administrative hearings held in regard to these matters and is routinely made a part of the record at such hearings. Information contained in this file is also made available to the Civil Service Commission in connection with such hearings and may be made available to the Department of Justice in connection with court proceedings resulting from appeals from decisions rendered at the administrative level; (b) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their du-

ties; (c) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552);

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted alphabetically in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person, and each case file is similarly identified in alphabetical order within the metal container.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Chief Counsel within the Customs Service Building. During non-working hours, the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel of Customs, New York, N.Y. 10048.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files results from investigations into alleged misconduct on the part of Customs Service employees, recommendations from appropriate Customs Service field personnel that disciplinary proceedings be instituted against Customs Service employees, the filing of grievances by Customs Service employees, the filing of EO complaints by Customs Service employees, the statements of Customs Service employees including the employees who are directly affected by the administrative proceedings, and statements or other information provided by private non-governmental individuals.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.192

System name: Personnel Case Files (Region VIII)—Treasury/Customs.

System location: Office of the Regional Counsel, 15th Floor, 450 Golden Gate Avenue, San Francisco, Calif. 94102.

Categories of individuals covered by the system: Current or former Customs Service employees against whom disciplinary action has been proposed or taken, who have filed grievances, and who have filed complaints under the Equal Opportunity (EO) Program, in most cases where administrative proceedings have been instituted.

Categories of records in the system: Reports of investigation into alleged employee misconduct, internal Customs Service memoranda recommending disciplinary action, documents relating to the institution or conduct of disciplinary proceedings, documents relating to

the filing and administrative disposition of formal and informal grievances and documents relating to the filing and administrative disposition of EO complaints.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended; Reorganization Plan No. 1 of 1965, Title 5, United States Code; Title 5, Code of Federal Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) The information contained in this file is used administratively to evaluate proposed disciplinary actions, grievances and EO complaints, to recommend action to be taken in such cases, and to prepare necessary decisional documents in such cases, and to prepare proposed charges where appropriate. The information contained in this file is used to prepare for administrative hearings held in regard to these matters and is routinely made a part of the record at such hearings. Information contained in this file is also made available to the Civil Service Commission in connection with such hearings and may be made available to the Department of Justice in connection with court proceedings resulting from appeals from decisions rendered at the administrative level.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted alphabetically in an unlocked drawer within a metal file cabinet.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person, and each case file is similarly identified in alphabetical order within the metal file cabinet.

Safeguards: The metal file cabinet described above is maintained within the area assigned to the Office of the Regional Counsel within the Federal Building. During non-working hours, the metal file cabinet and the room in which the metal file cabinet is located are locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer any space available for them within the metal file cabinet, at which time the oldest files may be transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel, 15th Floor, 450 Golden Gate Ave., San Francisco, Calif. 94102.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files results from investigations into alleged misconduct on the part of Customs Service employees, recommendations from appropriate Customs Service field personnel that disciplinary proceedings be instituted against Customs Service employees, the filing of grievances by Customs Service employees, the filing of EO complaints by

Customs Service employees, the statements of Customs Service employees including the employees who are directly affected by the administrative proceedings, and statements or other information provided by private non-governmental individuals.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.193

System name: Personnel Files of Customs Employees—Treasury/Customs.

System location: Files are located in Headquarters, Regional, District, Port and other post of duty offices throughout the Customs Service depending upon post of duty of employee. See Customs Appendix A.

Categories of individuals covered by the system: Customs employees.

Categories of records in the system: Outside of the appropriate Personnel offices, records are also maintained by district, port, or other post of duty management on personnel matters such as, but not limited to name, Social Security number, awards, letters of appreciation, promotions, step increases, memoranda, forms and materials related to hiring, address, pay, transfer and separation, service time, salary, phone, education, society memberships, publications, skills, chronological work history, position descriptions, reports of discussions held with employee regarding performance, copies of letters written to employee concerning performance, overtime hours, seniority status, leave, overtime earnings, productivity, locator card information, and related employment records.

Authority for maintenance of the system: 5 U.S.C. 301 Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) For supervisors and appropriate managers in making job-related determinations about employees(g) For employment and salary verification upon request from public.

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in file folders, and/or on index cards, and/or ledgers.

Retrievability: Records are indexed by name, or social security number.

Safeguards: Records are located in lockable metal file cabinets or in secured rooms with limited access.

Retention and disposal: Records are maintained as long as they are of use, i.e., while employee is still employed or may be considered desirable for re-employment. Otherwise destroyed.

System manager(s) and address: Director, Personnel Management Division in each Region or Headquarters, or managerial official in appropriate posts of duty of employee. See Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information in this system of records comes from employee, from personnel actions as noted in official personnel folders, and from supervisor.

Treasury/Customs 00.194

System name: Personnel/Payroll System—Treasury/Customs.

System location: Located in Personnel and Financial Management Divisions of each region and headquarters. Computerized in the IRS Data Center, Detroit, Michigan. See Customs Appendix A.

Categories of individuals covered by the system: All Customs employees.

Categories of records in the system: These records contain Personnel data maintained in the Official Personnel Folder, such as name, social security number, grade, series, step, organizational codes, tax withholding information, bond purchase and issuance, emergency salaries, overtime and holiday pay, optional payroll deductions, other deductions, and all payroll information. Also in this system are records of time and attendance and leave.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Records are used for payroll processing, reports on payroll information such as Employee Service Record report (IRS Form 3695), Comprehensive Payroll listing (IRS Form 2979), Payroll Journal Detail Listing (IRS Form 3124) and others.

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in file folders and on mag-tape and computer printout.

Retrievability: Records are indexed by name or social security number.

Safeguards: Records are maintained in locked files, secured rooms, or limited access.

Retention and disposal: Individual records are not in system after separation; Official Personnel Records of separated employees either are sent to new agency or to Records Center. Time and attendance records are maintained three years or until after audit, then destroyed.

System manager(s) and address: Directors, Personnel and Financial Management Division in each region and headquarters.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand

dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information is obtained from Official Personnel Folders and Time and attendance and leave records.

Treasury/Customs 00.195

System name: Personnel Records System, Office of Regional Counsel, Region IX—Treasury/Customs.

System location: Office of the Regional Counsel, U.S. Customs Service, Region IX, 55 E. Monroe Street, Room 1417, Chicago, Illinois 60603.

Categories of individuals covered by the system: Employees directly reportable to the Regional Counsel of Customs, Region IX.

Categories of records in the system: Attendance records, annual and sick leave records, personal information for emergency situations, i.e., address, telephone number, nearest relative or friend, name and address.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in the Personnel Records System of the United States Customs Service are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting

agency's decision on the matter; (f) Attendance and leave information contained in these files is routinely used by the secretarial personnel in preparing and making reports for pay purposes and other administrative reports. Supervisor uses information routinely in personnel management. Potential involvement of an employee in a disciplinary situation could require disclosure of the information to the Office of Internal Affairs, U.S. Customs Service, Chief Counsel, U.S. Customs Service, General Counsel, Treasury Department, and, also to the Department of Justice, if litigation occurs, and this information is channeled to that department through the Department of the Treasury.

For additional routine uses see Appendix AA.

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

Storage: Each record is inserted in a folder which is filed in a lockable drawer within a metal filing cabinet container.

Retrievability: Each record is identified by the name of the employee of the Regional Counsel, Region IX, U.S. Customs Service and is filed alphabetically.

Safeguards: The metal filing drawer containing the records described above is maintained within the area assigned to the office of the Regional Counsel, Region IX at 55 E. Monroe Street, Chicago, Illinois. During non-working hours, the room in which the metal filing drawer is located is locked, the file container itself is locked, and access to the building is controlled at all times by uniformed guards with a check-in system for employees. Only employees of the Regional Counsel's office and authorized building personnel have keys to the building.

Retention and disposal: The records are retained within the office of Regional Counsel with the exception of the original pay record for each employee which is submitted by-weekly to the Financial Management Division, Office of the Regional Commissioner, Region IX, and then forwarded to the Data Center in Detroit. After a three-year period, these records are destroyed.

System manager(s) and address: Regional Counsel of Customs, Room 1417, United States Customs Service, 55 E. Monroe Street, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If any individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Request by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (See Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requestor will be notified in writing of the procedures to be followed. Where the request is presented in person, the requestor shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or will-

fully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requestor asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in the system is obtained from the Bi-weekly Comprehensive Payroll Listing, Treasury Form 2979, supplied by the Payroll Data Center.

Treasury/Customs 00.196

System name: Preclearance Costs—Treasury/Customs.

System location: Financial Management Division, U.S. Customs Service, Region I, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Categories of individuals covered by the system: All Customs Inspectors and Foreign Service employees of Region I, Boston who are stationed at Toronto and Montreal Canada.

Categories of records in the system: Salaries, living allowances and benefits paid to employees who are stationed at Toronto and Montreal, Canada.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) The system is used by the Budget Section of the Financial Management Office to accumulate costs which are used for the preparation of quarterly reporting to Headquarters. These costs are used by Headquarters as the basis of assessment of charges to airline carriers for the use of Customs facilities outside of the United States.

For additional routine uses see Appendix AA.

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

Storage: Data is stored in a file folder within two metal file cabinets in the work area of the Budget Section.

Retrievability: The file is identified as the "Pre-clearance Record" which contains the names of all employees listed in alphabetical order with corresponding costs associated with each employee.

Safeguards: The file is located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted entry to the building.

Retention and disposal: The files are kept for 3 years and then destroyed.

System manager(s) and address: Director, Financial Management Division, U.S. Customs Service, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in the system is obtained from the Bi-weekly Comprehensive Payroll Listing, Treasury Form 2979, supplied by the Payroll Data Center.

Treasury/Customs 00.197

System name: Private Aircraft Inspection Reporting System (PAIRS)—Treasury/Customs.

System location: Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Names of pilots and yacht masters arriving in the United States.

Categories of records in the system: Names and personal identifiers of pilots with appropriate registration numbers and characteristics, and arrival dates at port of entry.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Used by Customs Officers for documenting the arrival of aircraft from foreign countries and in the enforcing of Customs and related laws; (b) Used for

Customs management functions such as measuring workload of Customs officers performing aircraft arrival inspections; (c) Used as an intelligence gathering source; (d) Used by Department of Justice in prosecuting court cases; (e) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (f) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Magnetic disc and tape storage; microfiche.

Retrievability: By individual name and aircraft/yacht registration number.

Safeguards: All inquiries are made by officers with full field background investigation on a "need to know" basis only. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, special communications security, etc.

Retention and disposal: Indefinite.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Proposed Customs Form 178 (Private Aircraft Inspection Report) which will be prepared by arriving pilots and other Federal agencies and confidential informers.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a(k)(2) has proposed to

exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.198

System name: Private Yacht Inspection Reporting System—Treasury/Customs.

System location: Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Names of private yacht masters arriving in the United States.

Categories of records in the system: Names and personal identifiers of yacht masters with appropriate private yacht registration numbers and characteristics, and arrival dates at port of entry.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used by Customs Officers for documenting the arrival of private yachts from foreign areas and in the enforcing of Customs and related laws; (d) Used for Customs management functions such as measuring workload of Customs offices performing private yacht inspections; (e) Used as an intelligence gathering source.

For additional routine uses, see Appendix AA.

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

Storage: (a) Magnetic disc and tape storage; (b) Microfiche.

Retrievability: By vessel name, private yacht registration number, and name of yacht master.

Safeguards: All inquiries are made by officers with full field background investigations on a "need to know" basis only. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, special communications security, etc.

Retention and disposal: Indefinite, then destroyed.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in the writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W.,

Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Yacht masters who report their arrival to a United States port of entry, other Federal agencies and confidential informers.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a(k)(2) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.199

System name: Property Assigned to Employee—Treasury/Customs.

System location: District Director's Office, Entry Control Section, U.S. Customs Service, 228 Federal Bldg., 335 Merchant Street, Honolulu, Hawaii 96813.

Categories of individuals covered by the system: Customs employees.

Categories of records in the system: Individual assignment of Customs badges, listing name, Social Security number and duty phone. Signed by Custodian and Property Officer.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Local Property Officer to determine individual badge assignments.

For additional routine uses see Appendix AA.

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

Storage: Kept in alphabetical order in an unlocked filing cabinet in the Entry Control Section.

Retrievability: By name.

Safeguards: The office where the records are located is locked during non-working hours and access to the building is controlled at all times by uniformed guards.

Retention and disposal: The records are maintained for the duration of the property assignment. Outdated records are destroyed after 3 years.

System manager(s) and address: Local Property Officer, Room 228, Federal Building, Entry Control Section. See location above.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information is provided by the property officer and the person to whom the property is assigned.

Treasury/Customs 00.200

System name: Property File—Treasury/Customs.

System location: Logistics Management Division, Region IV, U.S. Customs Service, Suite No. 300, 7370 N.W. 36th Street, Miami, Florida 33166.

Categories of individuals covered by the system: Any Customs employee who is designated as the official custodian of a serially numbered badge, weapon, or transportation request forms.

Categories of records in the system: Name, geographical location and number of item assigned.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used administratively by Customs Service employees to record names of individuals designated as custodians of accountable property.

For additional routine uses, see Appendix AA.

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

Storage: The information in this system is stored, in printout form, in files organized by District. The file folders are stored in an unlocked drawer in a metal file cabinet.

Retrievability: Each folder is filed by District.

Safeguards: The files are stored in a metal cabinet located within an office that is locked during non-working hours.

Retention and disposal: Records have been retained since the inception of the system, three years. No policy exists for disposal.

System manager(s) and address: Director, Logistics Management Division, U.S. Customs Service, Region IV, Suite No. 300, 7270 N.W. 36th Street, Miami, Florida 33166.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in

which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The source document for this record is the Customs form 35.

Treasury/Customs 00.201

System name: Property File—Non-Expendable-Treasury/Customs.

System location: Offices of District Directors, Region IX, Chicago, Illinois (see Customs Appendix A).

Categories of individuals covered by the system: Employees issued non-expendable property.

Categories of records in the system: Receipts for badges, cap insignias, bonded warehouse keys, identification cards, Government driver's licenses, firearms and other non-expendable property.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Locked file cabinet in the offices of the District Directors in Region IX, Chicago, Illinois.

Retrievability: Folders identified by individual's name.

Safeguards: The file described is maintained in the offices of the District Directors in Region IX, Chicago, Illinois. During non-working hours the room/building in which the file is located is locked. Access limited to authorized Customs personnel.

Retention and disposal: Until employee separates/transfers. Transfer to National Personnel Records Center (NPRC), (CPR), St. Louis, Missouri, 30 days after employee is separated.

System manager(s) and address: District Directors in Region IX, Chicago, Illinois.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this system consists of receipts of employees receiving non-expendable property.

Treasury/Customs 00.202

System name: Protest Inventory System—Treasury/Customs.

System location: Classification and Value Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, Room 2325, 1301 Constitution Avenue, N.W., Washington, D.C., 20229.

Categories of individuals covered by the system: Customs employees to whom protest cases are assigned for initial review at Customs Headquarters.

Categories of records in the system: Name of Customs employees to whom protest cases are assigned for initial review, protest number, entry number, date of protest, status, and date of status.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) To maintain a log system of all protests received in the Office, be able to locate each protest, obtain present status, and individual to whom assigned.

For additional routine uses see Appendix AA.

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

Storage: Magnetic tape and hard copy print-out.

Retrievability: A print-out in protest number order, entry number order, and by name of the Customs employee to whom the protest case is assigned. A print-out is prepared only upon request—normally quarterly.

Safeguards: The print-out is used only by division personnel to locate a specific protest. During non-working hours the room is locked and the building is guarded by security police. Only authorized persons are permitted in the building.

Retention and disposal: The print-out is retained until a new one is received, usually quarterly. The protest will be dropped from the list after it is closed and the time limit to go to court has expired. The print-out is disposed of as paper trash when it is no longer needed.

System manager(s) and address: Director, Classification and Value, Division, U.S. Customs Service, Room 2330, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Branch Chief or delegate at the time the protest case is assigned to an individual for initial review.

Treasury/Customs 00.203

System name: Receipt for property assigned.—Treasury/Customs.

System location: Federal Building, Room 198, 511 N.W. Broadway, Portland, Oregon 97209.

Categories of individuals covered by the system: Employees of Portland District to whom property has been assigned.

Categories of records in the system: Name, address, Social Security number, and listing of articles assigned.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To make accountable those employees to whom property has been assigned.

For additional routine uses see Appendix AA.

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

Storage: Maintained in wooden index card file on desk of property clerk.

Retrievability: Cards are filed alphabetically by name of individual.

Safeguards: The office and building are locked during non-working hours.

Retention and disposal: Retained 2 years after transfer or separation, then destroyed.

System manager(s) and address: District Director, Federal Building, Room 198, 511 N.W. Broadway, Portland, Oregon 97209.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person

under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Cards filled out by property clerk when property is issued.

Treasury/Customs 00.204

System name: Receipt for Property Assignment.—Treasury/Customs.

System location: Office of District Director, Administrative Officer, U.S. Customs Service, 555 Battery Street, Room 318, San Francisco, California 94126.

Categories of individuals covered by the system: Employees of Customs to whom Government property is issued—such as badges, cap insignia, guns, etc.

Categories of records in the system: Name, home address, District number, Port, social security number, signature of person receiving property, phone number, date.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. (b) Used administratively to account and control Government property issued to Customs employees.

For additional routine uses see Appendix AA.

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

Storage: The information in this system is contained on Customs Form 35. These forms are kept in a metal Index File Box.

Retrievability: Each receipt is filed by the name of the employee to which property has been assigned.

Safeguards: The metal Index File Box is stored in an office under constant supervision during regular working hours; and the office is locked during other than regular working hours.

Retention and disposal: These records forms are retained until the property is surrendered and/or the employee leaves Customs.

System manager(s) and address: Administrative Officer, U.S. Customs Service, 555 Battery Street, Room 318, San Francisco, California 94126.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to

be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this system originates with and consists of information developed when property is given to employees.

Treasury/Customs 00.205

System name: Reclassification Requests—Treasury/Customs.

System location: Located in the Position Classification and Management Branch, Personnel Management Division, 500 Dallas St., Houston, Texas 77002.

Categories of individuals covered by the system: Any employee whose position is to be reviewed and/or evaluated for possible reclassification.

Categories of records in the system: All correspondence prepared by, or directed to, the employee, supervisor or manager, and classification staff.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Maintained as a ready reference file for any inquiry related to the case and for historical purposes. See Appendix AA. (b) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (c) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (d) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, or local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation, or order issued pursuant thereto. (e) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (f) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Requests are maintained in a file folder and retained in a metal file cabinet.

Retrievability: By employee name.

Safeguards: A metal container is maintained within the area assigned to Personnel Management in the One Allen Center Building. During non-working hours, the room in which the metal container is kept is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: When reviews are made and a classification decision is reached, the case is considered closed and all related papers are disposed of in accordance with Records Disposition Schedule (3 years).

System manager(s) and address: Director, Personnel Management Division, 500 Dallas St., Houston, Texas 77002.

Notification procedure: Requests by an individual to be notified if the system of records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information to pursue requests for reclassification are obtained from concerned employees, supervisors, and knowledgeable managerial officials. Other information is obtained from appropriate Civil Service classification publications.

Treasury/Customs 00.206

System name: Regulatory Audits of Customhouse Brokers—Treasury/Customs.

System location: Division of Regulatory Audit, Room 2114, United States Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229, and at each of the nine regional offices of Regulatory Audit (see Customs Appendix A for addresses).

Categories of individuals covered by the system: Persons licensed to conduct customhouse brokerage business pursuant to 19 U.S.C. 1641.

Categories of records in the system: Audit reports of customhouse broker accounts and records; correspondence regarding such reports; Congressional inquiries concerning customhouse broker and disposition made of such inquiries; names of officers of customhouse brokerage firms, license numbers and dates issued and district covered.

Authority for maintenance of the system: 19 U.S.C. 1641; 19 CFR Part III, 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552). (c) The information may be furnished to other government agencies which may have an interest in the broker. (d) Copies of broker audit reports will be retained in the office that performed the audit and at the headquarter's office. These reports will serve as a permanent file providing such essential information as the names and broker license number of company officers and other licensed employees. The reports will create a historical record of broker performance. The headquarter's file will also provide a means of evaluating the effectiveness of audits conducted by the regional audit staffs.

For additional routine uses see Appendix AA.

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

Storage: Each customhouse broker file is inserted in alphabetical order by name of the firm in one of nine regional file folders which are filed in an unlocked drawer within a metal file cabinet. Duplicate copies are maintained at Customs Service Headquarters.

Retrievability: Each broker file is identified on alphabetical file locator cards which contain the name and address of the broker, the region and district in which he operates, and the number of the file drawer. In addition each regional office maintains their own alphabetical file, containing the above information, for broker activities within their region.

Safeguards: The files described above are maintained within the area assigned to the Regulatory Audit Division within the Customs Service Building. During non-working hours, the room in which the files are located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: Customhouse broker files are retained indefinitely, or until there is no longer any space available for them at which time the oldest files are destroyed by burning or shredding.

System manager(s) and address: Director, Regulatory Audit Division, United States Customs Service Headquarters, 1301 Constitution Avenue, NW, Washington, D.C. 20229. Regional Director, Regulatory Audit Division at each of the nine regional offices (see Customs Appendix A for addresses).

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates from audits conducted by the regional Regulatory Audit staff, of customhouse brokers' businesses. The audits may be supplemented with information furnished by the Office of the Chief Counsel, Office of Investigations, and the Office of Regulations and Rulings. These audits include examinations of brokers business records, including all financial books of accounts, check books, and

financial statements. In the event that the broker is engaged in various business enterprises such as freight forwarding and insurance, and these financial records are commingled with those financial records relating to the brokerage business, it would be necessary to examine the other business records to complete the audit.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.207

System name:	Reimbursable	Assignment
System—Treasury/Customs.		

System location: U.S. Customs Service Data Center, William Building, 7923 Eastern Avenue, Silver Spring, Maryland 20910.

Categories of individuals covered by the system: Customs Service employees who perform reimbursable services and parties in interest for whom reimbursable services are performed.

Categories of records in the system: Name, address, social security number or importer of record number assigned by the Customs Service, listings of reimbursable overtime assignments of Customs employees, bills and refund checks issued to parties in interest, travel expenses incurred by Customs employees in connection with the reimbursable services.

Authority for maintenance of the system: 19 U.S.C. 261, 267, and 1451; 19 CFR 24.16 and 24.17; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties which may include monitoring reimbursable assignments, editing items of information that have been rejected because of erroneous coding, and equalizing Customs overtime assignments at ports of entry. (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552). (c) Disclosure to the Internal Revenue Service Data Center at Detroit, Michigan, for the purpose of including overtime earnings in salary checks issued to Customs Service employees who performed reimbursable services.

For additional routine uses see Appendix AA.

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

Storage: The information in this system is contained in a computerized system utilizing magnetic tape storage techniques.

Retrievability: The information in this system is retrieved by the individual's social security number or by the individual's importer of record number.

Safeguards: Procedural and physical safeguards are utilized such as accountability and receipt access, guards patrolling the area, restricted access and alarm systems.

Retention and disposal: The records in this system are retained for an indefinite period of time. There are no established procedures for disposal of the subject records.

System manager(s) and address: Director, Accounting Division, U.S. Customs Service Headquarters, Room 7126, 1301 Constitution Ave, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or will-

fully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this system originates with the receipt of a request, for reimbursable services from the party in interest. In addition, information in this system is derived from Customs Form 5106 (Notification of Importer's Number/Application for Importer's Number) which is filed with the Customs Service by the importer, and from Customs Form 6082 (Work Ticket) which is filed by the Customs Inspector who performed the reimbursable services.

Treasury/Customs 00.208

System name: Restoration of Forfeited Annual Leave Cases—Treasury/Customs.

System location: Located in the Personnel Management Division of each region and Headquarters according to list in Customs Appendix A.

Categories of individuals covered by the system: Employees of the U.S. Customs Service who have applied for restoration of forfeited annual leave.

Categories of records in the system: Employee applications for restoration of leave. Management decisions on employee applications for restoration of leave. Applicable regulations.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information.

such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (f) Certain employees of the Personnel Management Division and supervisors. Justification of action, respond to inquiries, post-audit of action, statistics, reports to Treasury and Civil Service Commission.

For additional routine uses see Appendix AA.

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

Storage: Records are stored in manila folders.

Retrievability: Records are indexed by name.

Safeguards: Records are maintained in locked files.

Retention and disposal: Records are retained indefinitely or until Treasury issues instructions.

System manager(s) and address: Director, Personnel Management Division, in each region and Headquarters.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Evidential materials supporting employee applications for restoration of forfeited annual leave. Evidential materials supporting management decisions.

Treasury/Customs 00.209

System name: Resumes of Professional Artists—Treasury/Customs.

System location: Area Director, N.Y. Seaport Area, 6 World Trade Center, New York, N.Y. 10048.

Categories of individuals covered by the system: Professional Artists.

Categories of records in the system: Artist's name and professional art background.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) To classify imported works of art.

For additional routine uses see Appendix AA.

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

Storage: Paper.

Retrievability: Alphabetical listing.

Safeguards: Filing cabinet, office locked at end of day.

Retention and disposal: Permanent.

System manager(s) and address: Area Director N.Y. Seaport Area, 6 World Trade Center, New York, N.Y. 10048.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting

identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Resume information provided by artist.

Treasury/Customs 00.210

System name: Revocation of I.D. Privileges and "Cash Basis Only" for Reimbursable Services List—Treasury/Customs.

System location: Financial Management Division—Districts and Ports, 7370 N.W. 36th Street, Miami, Florida 33166.

Categories of individuals covered by the system: Corporate and Individual Brokers, Importers, Carriers, and Private Individuals.

Categories of records in the system: Corporations and individuals in financial difficulty.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) This is a monthly list originated in the Region informing all Districts and Ports of debtors for which no credit may be extended.

For additional routine uses see Appendix AA.

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

Storage: Files are maintained in an unlocked drawer within a metal file cabinet.

Retrievability: Alpha File in Manila Folder by Month.

Safeguards: The metal container described above is maintained within the area assigned to the Financial Management Division within the Customs Service Building. During non-working hours the room in which the metal container is located is locked.

Retention and disposal: These files are retained as prescribed by GAD Regulations or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Director of Financial Management, 7370 N.W. 36th Street, Miami, Florida 33166.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Financial Management Division, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229 or Regional Commissioner, Region IV. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Financial Management Division, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229 or Regional Commissioner, Region IV. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person,

son, the requester shall present adequate identification to establish his identity and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Generated in house by Accounting Personnel from delinquent bill listings and open file of outstanding bills. Additionally, feedback from Districts and Ports on bankrupt firms and from Regulatory Audit Division on firms in Financial difficulty or under investigation.

Treasury/Customs 00.211

System name: Sanction List Treasury/Customs.

System location: Regional Commissioner of Customs, Suite 1501, 55 East Monroe Street, Chicago, Illinois 60603.

Categories of individuals covered by the system: Persons who are indebted to the United States Government for bills that are unpaid and past due.

Categories of records in the system: Listing is issued monthly showing individual's name and address plus number and amount of unpaid and past due bills.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Each sanction list is stored in a file drawer in an unlocked file cabinet.

Retrievability: Each sanction list is identified by month and year of issuance.

Safeguards: The file cabinet described above is maintained within the area assigned in the Customs Office. During non-working hours the room and/or building in which the file cabinet is located is locked.

Retention and disposal: Retained in Customs Office for minimum of one year. Disposal in accordance with Records Control Manual.

System manager(s) and address: Regional Commissioner of Customs, Suite 1501, 55 East Monroe Street, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this listing is secured from CF 6084 and 6084A, Miscellaneous Bill Form issued to each individual and correspondence files maintained for individuals.

Treasury/Customs 00.212

System name: Search/Arrest/Seizure Report—Treasury/Customs.

System location: Patrol Division Offices of the U.S. Customs Service. See Customs Appendix A.

Categories of individuals covered by the system: Persons who have or may have violated a law of the United States.

Categories of records in the system: Name, alias, date of birth, age, personal data, addresses, home and business telephone numbers, occupation, background information, associations, license number and registration number of vehicle, vessel and/or aircraft, mode of entry of individual or contraband, fingerprints, pictures, declaration forms, cash receipts, receipt for seized goods, all other forms pertinent to the case, such as Notice to Master, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their official duties; (b) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used as an aid to law enforcement and to identify persons suspected of violating the law; (d) Cases are referred to Investigative Branch since same are evident of violations of law; (e) Since this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

For additional routine uses see Appendix AA.

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

Storage: Each case is placed in a folder which is filed in a numerical order according to the assigned case file number. These files are kept in a locked metal cabinet.

Retrievability: The above-mentioned case file numbers are cross-indexed by name to such numbers, and cards are filed alphabetically within a metal file box.

Safeguards: The metal file cabinet and the metal file box are located within an office that is locked during non-working hours. The building is guarded by uniformed customs guards, and only authorized persons are permitted in the building.

Retention and disposal: These cases are retained for a period of three years after which they are destroyed together with related index cards.

System manager(s) and address: Director, District Patrol Division, See Customs Appendix A.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.213

System name: Search, Arrest and Seizure Reporting System—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Violators of Customs and related laws apprehended by U.S. Customs Officers.

Categories of records in the system: Name, address, date of birth, date of violation, seizure number, identifying numbers, and characteristics, details and circumstances of search, arrest or seizure.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) To determine violation trends and develop enforcement techniques and lookout information for use in the enforcement of Customs and related laws; (g) To provide management information such as the number and types of seizures, arrests and searches associated with arrests or seizures.

For additional routine uses see Appendix AA.

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

Storage: (1) Magnetic disc and tape storage; (2) Hardcopy; (3) Microfiche.

Retrievability: By individual's name, seizure number, unique identifiers, system identification number.

Safeguards: All inquiries are made by officers with full field background investigations on a "need to know" basis only. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, special communications security, etc.

Retention and disposal: Indefinite.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.214

System name: Seizure File—Treasury/Customs.

System location: Patrol Division, U.S. Customs Service, 6 World Trade Center, New York, N.Y. 10048.

Categories of individuals covered by the system: Ships Masters, Ships Crew Members, Longshoremen, Vessels, Private Aircraft, Private Vessels, Individuals from whom seizures have been made, or upon whom Memoranda of information have been received.

Categories of records in the system: Memoranda of Information Received, which are reports from law enforcement agencies of suspects or arrests. Reports of Seizures by Customs, other information indicating violators or suspected violators.

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: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Reference file for identifying violators or suspected violators.

For additional routine uses see Appendix AA.

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

Storage: Manila files within metal file cabinets.

Retrievability: Alphabetical; for aircraft or car by number; by seizure number; by name of individual.

Safeguards: Room has a 24-hour guard and is locked.

Retention and disposal: Seizure files are maintained for three years after final disposition. Memoranda of information received: not determined how long they will be retained at present.

System manager(s) and address: Director, Patrol Division, U.S. Customs Service, 6 World Trade Center, New York, N.Y. 10048.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.215

System name: Seizure Report File—Treasury/Customs.

System location: U.S. Customs Mail Facility, 1675—7th Street, Oakland, California 94615.

Categories of individuals covered by the system: Individuals to whom prohibited merchandise is addressed.

Categories of records in the system: Name, address, property description, estimated foreign value, duty, domestic value, circumstances of seizure, sender, section of law violated, delivery to San Francisco seizure clerk.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

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

records contained in this system are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used administratively by the Mail Facility to record seizures and their disposal.

For additional routine uses see Appendix AA.

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

Storage: The information in this system is contained on Customs Form 5955 Seizure Reports, Customs Form 6043—Delivery Ticket, and Customs Form 151—Search/Arrest/Seizure Report. These forms are placed within file folders which are located in a metal file cabinet.

Retrievability: Each Seizure Report and Delivery Ticket (stapled together) are identified by the name of the person to which the seized items are addressed and the names are filed alphabetically by fiscal year.

Safeguards: The file folders are placed within a metal cabinet which is located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted in the building.

Retention and disposal: Last three fiscal years records are kept in a file cabinet in the office. Three fiscal years prior are kept in boxes in the detention area.

System manager(s) and address: Head, Surface Mail Section. See location above.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this system originates with and consists of information obtained from mail shipments.

Treasury/Customs 00.216

System name: Service Records of Former Employees—Treasury/Customs.

System location: Personnel Management Division, U.S. Customs Service, Region I, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Categories of individuals covered by the system: Individuals formerly employed in Region I, U.S. Customs Service.

Categories of records in the system: Name, address, Social Security number, employment history and status of former employee.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: In metal filing cabinet.

Retrievability: By name.

Safeguards: Accessible to Personnel Office employees. During non-working hours, the area in which these records are stored is locked and the building is guarded by uniformed security police.

Retention and disposal: Maintained indefinitely.

System manager(s) and address: Director, Personnel Management Division, U.S. Customs Service, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Personnel record of the employee.

Treasury/Customs 00.217

System name: Set Off Files—Treasury/Customs.

System location: Financial Management Division, 7370 N.W. 36th Street, Miami, Florida 33166.

Categories of individuals covered by the system: Importer of Record, Customhouse Broker, Parties In Interest.

Categories of records in the system: Name, address, identification number, copies of refund checks and copies of set off bills.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Document files identifying debtors for whom refunds are withheld and amounts applied against delinquent bills.

For additional routine uses see Appendix AA.

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

Storage: Files are maintained in an unlocked drawer within a metal file cabinet.

Retrievability: File folders with individual's name annotated with set off.

Safeguards: The metal container described above is maintained within the area assigned to the Financial Management Division within the Customs Service Building. During non-working hours the room in which the metal container is located is locked.

Retention and disposal: These files are retained as prescribed by GAD Regulations or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Director of Financial Management, 7370 N.W. 36th Street, Miami, Florida 33166.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Financial Management Division, U.S. Customs Service Headquarters, 1301 Constitution

Avenue, N.W., Washington, D.C. 20229 or Regional Commissioner, Region IV. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Financial Management Division, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229 or Regional Commissioner, Region IV. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: District Directors, Port Directors, Import Control Officers, External Auditors and Other Customs Employees.

Treasury/Customs 00.218

System name: Seventy-two Hour Archives Search System—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Vehicle license number and individual names.

Categories of records in the system: Date, time, lane number, port of entry, and vehicle license numbers of vehicles and/or names of individuals entering the United States from Mexico and Canada at Ports of Entry that have Treasury Enforcement Communication System (TECS) terminals.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforce-

ing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (f) To determine if a suspected U.S. Customs or other law violator has entered from Mexico or Canada during a 72 hour period. (g) To determine if a pattern of travel by the suspect can be detected.

For additional routine uses see Appendix AA.

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

Storage: Magnetic disc and tape storage.

Retrievability: License number, individual name.

Safeguards: Only Supervisory Customs Enforcement officers can request these records. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and protection systems, with all special communications protection features.

Retention and disposal: 72 hours, then erased.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.219

System name: Skills Inventory Records—Treasury/Customs.

System location: Personnel Management Division, U.S. Customs Service, Washington, D.C. 20229.

Categories of individuals covered by the system: Records are maintained in this system on Customs personnel in grades GS-13 and above.

Categories of records in the system: Data elements to provide a complete skills profile of the employee.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) To identify potential candidates for managerial positions. Used by members of the Evaluation Boards.

For additional routine uses see Appendix AA.

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

Storage: Records are maintained on a Customs Form 121 and Mag-tape.

Retrievability: Records are indexed by name.

Safeguards: Records are maintained in locked file and limited access to computer system.

Retention and disposal: Records are maintained until separation of an employee from the Customs Service.

System manager(s) and address: Director, Personnel Management Division, U.S. Customs Service, Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A) or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: CF-121 which is prepared by the employee.

Treasury/Customs 00.220

System name: Supervisory Notes and SF-7B Files—Treasury/Customs.

System location: Appropriate duty station or with supervisor of each employee. See Customs Appendix A.

Categories of individuals covered by the system: Customs employees.

Categories of records in the system: SF-7B card contains identical information to that contained on SF-7 card; in addition it can have attached or separately-maintained supervisory notes concerning an employee's performance on-the-job, conduct, counseling sessions, training recommended or taken, awards granted, emergency contact information, job assignments, to be used for administration resource purposes in recommending or authorizing discipline, recognition, assignment of performance rating, training, job assignments, leave requests, and/or similar matters.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required

in administration of the Freedom of Information Act (5 U.S.C. 552): (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or other issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Used by supervisors as documentation or by certain Personnel Management Division employees helping supervisors to initiate appropriate commendatory, corrective, or disciplinary action.

For additional routine uses see Appendix AA.

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

Storage: Records are stored in manila folders or special file cabinets.

Retrievability: Records are indexed by organizational code and name.

Safeguards: Records are maintained in locked file.

Retention and disposal: Records are retained while employee is employed, and are destroyed upon separation.

System manager(s) and address: Employee's supervisor.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretense is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See access above.

Record source categories: Form SF-50, Employee and employee's supervisors.

Treasury/Customs 00.221

System name: Suspect File—Treasury/Customs.

System location: Patrol Headquarters, 100 N.E. 7 St., Miami, Fla.

Categories of individuals covered by the system: Individuals on whom suspect information is received by Patrol Headquarters.

Categories of records in the system: Memoranda of Information, Lookout Notices, Letters re: suspects, other notices of suspected violations.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used by the employees in the Patrol Division for enforcement purposes; (d) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (e) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (f) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Records are stored in file cabinets in restricted area of offices.

Retrievability: Records are retrievable by name.

Safeguards: Records are kept in locked buildings when unattended.

Retention and disposal: Records are retained as long as information is pertinent but destroyed immediately after information becomes obsolete.

System manager(s) and address: District Director of Customs, 100 N.E. 7 St., Miami, Fla.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain require-

ments of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.223

System name: Suspect File—Treasury/Customs.

System location: Office of the Customs Patrol Division, Room 202, U.S. Customhouse, Nogales, Arizona, and at each port: Douglas, San Luis and Lukeville, Arizona.

Categories of individuals covered by the system: Persons in whom Customs is interested from a law enforcement point of view.

Categories of records in the system: Name, address, file reference number, memoranda of information, lookout notices.

Authority for maintenance of the system: Memorandum, dated 6/16/74, File ADM-4-01:O.P. from Director of Patrol Division, Headquarters; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide rapid and accurate retrieval of information previously recorded to officers of the U.S. Customs Service who have need of such information in the performance of their official duties.

For additional routine uses see Appendix AA.

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

Storage: Unlocked metal card file.

Retrievability: Alphabetical.

Safeguards: Room is locked during non-working hours.

Retention and disposal: Indefinite.

System manager(s) and address: District Director, Nogales, Arizona. (See above.)

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.224

System name: Suspect Persons Index—Treasury/Customs.

System location: U.S. Customs District Offices located at the following addresses: 204 E. 5th Ave., Anchorage, Alaska; 215 1st Ave. No., Great Falls, Montana; 335 Merchant, Honolulu; 511 N.W. Broadway, Portland, Oregon; 555 Battery St., San Francisco, California; First & Marion Sts., Seattle, Washington.

Categories of individuals covered by the system: Persons suspected of violation of Customs Laws.

Categories of records in the system: Name and related file number.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used to aid in law enforcement and to identify persons suspected of violating the law.

For additional routine uses see Appendix AA.

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

Storage: Maintained in folders and stored in metal file cabinet.

Retrievability: The office and building are locked during non-working hours.

Safeguards: Alphabetical by use of cross index.

Retention and disposal: Records are maintained and disposed of in accordance with Records Disposal Manual.

System manager(s) and address: District Director of Customs. See location above.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.225

System name: Telephone Analysis Program (TELAN)—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Telephone number of known and suspected violators of Customs and other laws.

Categories of records in the system: Telephone toll data of individuals being investigated by Customs and other Federal Agencies, investigative case numbers, and telephone number.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Criminal Investigators of the U.S. Customs Service and other Federal agencies use the records of telephone calls to or from the numbers of individuals being investigated to determine relationships among criminal cases.

For additional routine uses see Appendix AA.

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

Storage: (1) Magnetic tape and disc; (2) Hard copy printouts.

Retrievability: Telephone number.

Safeguards: All inquiries are made by officers with full field background investigation on a "need to know" basis only. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, special communications security, etc.

Retention and disposal: Indefinite. Erasure of tapes/discs and/or printouts are retired to Federal Records Center and destroyed after five years.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the

justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.226

System name: Television System—Treasury/Customs.

System location: Office of Port Director, San Ysidro, California.

Categories of individuals covered by the system: Persons involved in incidents related to search and subsequent disturbance while entering the United States from Mexico.

Categories of records in the system: An audio-video cassette recording of persons being escorted into, as well as inside, the business offices of the Customs area of the Port of Entry.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Dept. Order No. 165, Revised, as amended, and the Customs Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Evidence for use in court, record of disturbances and record of actions involving complaints.

For additional routine uses see Appendix AA.

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

Storage: Audio-video cassette.

Retrievability: By subject's name, date, and time.

Safeguards: Cassettes are under control of Port Director and released only to the courts when subpoenaed or when requested to be reviewed by subject and his attorney.

Retention and disposal: All cassettes with incident are retained for six months. Those on which some action may be taken are retained for one year or close of the case. Cassettes are reusable. Therefore, wipeout occurs when new recording takes place.

System manager(s) and address: Port Director, San Ysidro, California.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Audio-video recording of persons being escorted into the Customs area.

Treasury/Customs 00.227

System name: Temporary Importation Under Bond (TIB) Defaulter Control System—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Individuals who have been denied T.I.B. privileges because of failure to pay outstanding liquidated damages.

Categories of records in the system: Individual's name, personal identifying numbers and characteristics, address, company and case description, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Used by Customs officers to determine whether an individual is eligible for T.I.B. privileges and to collect appropriate liquidated damages owed by an individual. Provides Customs management information such as total outstanding liquidated damages, etc.

For additional routine uses see Appendix AA.

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

Storage: (1) Magnetic disc and tape storage; (2) Hard Copy; (3) Microfiche files.

Retrievability: Indexing is by violator name.

Safeguards: All inquiries are made by officers with full field background investigations on a "need to know" basis only. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, special communications security, etc.

Retention and disposal: Indefinite, None.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See access above.

Record source categories: Customs officers completing Customs Form 164 (TECS—TIB Defaulter Control).

Treasury/Customs 00.228

System name: Temporary Importation Violation Record—Treasury/Customs.

System location: Fines, Penalties and Forfeitures Section, Room 102, U.S. Customhouse, Second and Chestnut Streets, Philadelphia, Pennsylvania 19106.

Categories of individuals covered by the system: Persons making importations against Temporary Importation Bonds.

Categories of records in the system: The record reveals the individual's or Customhouse Broker's name, case number assigned and date, amount of penalty incurred, mitigated sum or remission and date closed. The record results in a summary of repetitive violations by any one individual, firm or Customhouse Broker and disciplinary action toward reduction or elimination of violations.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Temporary Importation Record Cards are filed alphabetically in an unlocked metal file cabinet.

Retrievability: Each record card is filed alphabetically within the metal cabinet.

Safeguards: The metal cabinet described above is maintained within the area assigned to the Fines, Penalties and Forfeitures Section in Room 102, of the Customhouse, Philadelphia; during non-working hours, access to the building and area of storage is controlled by uniformed guards.

Retention and disposal: Temporary Importation Record Cards are retained at location three years, then destroyed.

System manager(s) and address: District Director of Customs, Room 102, U.S. Customhouse, Second and Chestnut Streets, Philadelphia, PA 19106.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the Region in which the records are located (See Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the record may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the Region in which the records are located (See Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the record contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained on the cards originated from liquidated damage cases instituted for failure to comply with T.I.B. provision.

Treasury/Customs 00.229

System name: Theft Information System (TIS)—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Individuals who are suspected of, or that have been arrested for, thefts from international commerce.

Categories of records in the system: Name of individual(s), personal identifying numbers and characteristics, case information such as merchandise and values, methods of theft, seizure, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950, Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Used by Customs officers to identify high theft areas, types of cargo being stolen or pilfered, types of cargo most likely to be pilfered or stolen, to connect seemingly unrelated Customs theft cases and to provide management information such as the value and volume of theft from international shipping.

For additional routine uses see Appendix AA.

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

Storage: (1) Magnetic disc and tape storage, hard copy; (2) Customs Form 153 (Theft Information Report); (3) Microfiche.

Retrievability: By name, other personal identifying numbers and by cargo location code.

Safeguards: All inquiries are made by officers with full field background investigations on a "need to know" basis only. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, special communications security, etc.

Retention and disposal: Three years; by burning and/or shredding of Customs Form 153 and magnetic disc and tape erased.

System manager(s) and address: Assistant Commissioner, Officer of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.230

System name: Time and Attendance and Leave Records—Treasury/Customs.

System location: Located in the Personnel and/or Financial Management Divisions or appropriate Employee Post of Duty of each region and Headquarters according to list in Appendix A.

Categories of individuals covered by the system: All Customs employees.

Categories of records in the system: Time and attendance and leave information, TD 2384, SF1137.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Used by members of the Personnel and Financial Management Divisions and supervisors to maintain valid time, attendance, and leave records for pay purposes. Could be used as evidence in AWOL or abuse of leave, and for statistical purposes.

For additional routine uses see Appendix AA.

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

Storage: Records are stored on punch card (TD Forms 2384), SF-1137, mag-tape or punch cards.

Retrievability: Time and attendance records are indexed by post of duty name. Leave records are indexed by name.

Safeguards: Records are maintained in locked files or safeguarded through the security of the Automatic Data Processing System.

Retention and disposal: TD 2384 forms are kept three years, then destroyed. SF-1137 are retained three years after audit or related pay periods.

System manager(s) and address: Director, Personnel and/or Financial Management Divisions, in each region and Headquarters. See Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person

under false pretense is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Time and attendance keepers and supervisors.

Treasury/Customs 00.231

System name: Tort Claims Act File—Treasury/Customs.

System location: Office of the Regional Counsel, Room 125, U.S. Customhouse, 40 South Gay Street, Baltimore, Maryland 21202.

Categories of individuals covered by the system: Private persons filing claims under the Federal Tort Claims Act for property damage or personal injury allegedly caused by a wrongful or negligent act or omission on the part of a Customs Service employee while acting within the scope of his employment.

Categories of records in the system: Reports of Investigation regarding claim filed, documents relating to the administrative handling of the claim and documents submitted by the claimant in support of the claim.

Authority for maintenance of the system: 28 U.S.C. 2672, et seq.; 28 CFR 14.1 et seq.; 31 CFR 3.1 et seq.; Treasury Department Administrative Circular No. 131, August 19, 1965; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) In addition, information contained in this file is made available to the Department of Justice to assist that Department in preparing the Government's case when suit is filed in court based on an administrative denial of the claim or based on a failure to administratively process the claim within the prescribed time period; (c) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in the file folder within the metal container by the name of the person who filed the claim.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Regional Counsel within the Customhouse. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: These files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Centers.

System manager(s) and address: Regional Counsel, Room 125, U.S. Customhouse, 40 South Gay Street, Baltimore, Maryland 21202.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (See Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originated with a Standard Form 95, Claim for Damage or Injury, which is completed and filed with the Customs Service by the claimant. Using these forms as a basis, investigations are conducted by authorized Customs Service investigative personnel in order to determine the facts surrounding the claims. During these investigations information may be elicited from Customs Service employees, private persons, or any other parties who may have information regarding the facts surrounding the claims.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.232

System name: Tort Claims Act File—Treasury/Customs.

System location: Office of the Regional Counsel, Room 7422, New Federal Building, 300 N. Los Angeles St., Los Angeles, CA 90053.

Categories of individuals covered by the system: Private persons who have filed or may file claims under the Federal Tort Claims Act for property damage or personal injury allegedly caused by a wrongful or negligent act or omission on the part of a Customs Service employee while acting within the scope of his employment.

Categories of records in the system: Reports of Investigation regarding accidents involving Customs employees, documents relating to the administrative handling of the claims filed thereon, and documents submitted by the claimant in support of the claim.

Authority for maintenance of the system: 28 U.S.C. 2672, et seq.; 28 CFR 14.1 et seq.; 31 CFR 3.1 et seq.; Treasury Department Administrative Circular No. 131, August 19, 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information contained in this file is used to administratively process claims filed under the Federal Tort Claims Act and is made available to the officials within the Customs Service who review recommendations and who make final decisions on such claims. In addition, information contained in this file is made available to the Department of Justice to assist that Department in preparing the Government's case when suit is filed in court based on an administrative denial of the claim or based on a failure to administratively process the claim within the prescribed time period.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in the alphabetical file folder within the metal container by the name of the person who has filed or may file a claim.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Regional Counsel within the New Federal Building. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: Tort claim files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest closed files are transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel, Room 7422, United States Customs Service, 300 N. Los Angeles St., L.A., Calif. 90053.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, 300 N. Los Angeles St., Los Angeles, Calif. 90053 or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with a Standard Form 95, Claim for Damage or Injury, which is completed and filed with the Customs Service by the claimant. Using these forms as a basis, investigations are conducted by authorized Customs Service investigative personnel in order to determine the facts surrounding the claims. During these investigations information may be elicited from Customs Service employees, private persons, or any other parties who may have information regarding the facts surrounding the claims. When a claim is not filed, the information is limited to the investigative reports of the property damage or personal injury.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.233

System name: Tort Claims Act File—Treasury/Customs.

System location: Regional Counsel of Customs, 6 World Trade Center, New York, N.Y. 10048.

Categories of individuals covered by the system: Private persons filing claims under the Federal Tort Claims Act for property damage or personal injury allegedly caused by a wrongful or negligent act or omission on the part of a Customs Service employee while acting within the scope of his employment.

Categories of records in the system: Reports of Investigation regarding claims filed, documents relating to the administrative handling of the claim and documents submitted by the claimant in support of the claim.

Authority for maintenance of the system: 28 U.S.C. 2672, et seq; 28 CFR 14.1 et seq; 31 CFR 3.1 et seq; Treasury Department Administrative Circular No. 131, August 19, 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); The information contained in this file is used to administratively process claims filed under the Federal Tort Claims Act and is made available to the officials within the Customs Service who review recommendations and who make final decisions on such claims. In addition, information contained in this file is made available to the Department of Justice to assist that Department in preparing the Government's case when suit is filed in court based on an administrative denial of the claim or based on a failure to administratively process the claim within the prescribed time period.

For additional routine use see Appendix AA.

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

Storage: Each case file is inserted in an alphabetical file folder which is filed in an unlocked drawer within a metal container.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person who filed the claim and in the alphabetical file folder within the metal container by the name of the person who filed the claim.

Safeguards: The metal container described above is maintained within the area assigned to the Office of the Chief Counsel within the Customs Service Building. During non-working hours the room in which the metal container is located is locked, and access to the building is controlled at all times by uniformed guards.

Retention and disposal: Tort claim files are retained indefinitely or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Regional Counsel, U.S. Customs Service, 6 World Trade Center, New York, N.Y. 10048.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with a Standard Form 95, Claim for Damage or Injury, which is completed and filed with the Customs Service by the claimant. Using these forms as a basis, investigations are conducted by authorized Customs Service investigative personnel in order to determine the facts surrounding the claims. During these investigations information may be elicited from Customs Service employees, private persons, or any other parties who may have information regarding the facts surrounding the claims.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.234

System name: Tort Claims Act File—Treasury/Customs

System location: Offices of the District Directors, Region IX, Chicago, Illinois. (See Customs Appendix A.)

Categories of individuals covered by the system: All individuals presenting claims of damage to personal property resulting from Customs activities.

Categories of records in the system: Written damage claims supported by estimates, bills, claim forms and internal Customs Service memoranda.

Authority for maintenance of the system: 31 C.F.R. Part 3; 5 U.S.C. 301; Reorganization plan No. 1 of 1950; Treasury Department order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Filed in cabinets in the District Directors' offices.

Retrievability: Folders filed in alphabetical sequence.

Safeguards: File cabinets are located within the area assigned in the Customs office. During non-working hours the room in which the cabinets are located is locked.

Retention and disposal: Retained in District Directors' offices for 3 years then transferred to the Federal Record Center for 7 years and 3 months prior to destruction.

System manager(s) and address: District Director as appropriate in Region IX, Chicago, Illinois. (See Customs Appendix A.)

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this system originates with a written claim submitted by the claimant, as well as information supplied on Standard Form 95 and internal Customs memoranda.

Treasury/Claims 00.235

System name: Tort Claims File—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif.; Offices of the Port Directors, San Ysidro, Calif.; Tecate, Calif.; Calexico, Calif.; Andrade, Calif.; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif.; San Ysidro, Calif.; Calexico, Calif.; Tecate, Calif.

Categories of individuals covered by the system: All individuals filing Tort Claims and correspondence relating thereto.

Categories of records in the system: System has person(s) name, address, phone number, and additional information relating to the incident upon which a Tort Claim may be filed in accordance with SF 95 "Claim for Damage or Injury".

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended, and Section 24, Customs Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. Get information and make determinations relative to liabilities of the U.S. Government.

For additional routine uses see Appendix AA.

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

Storage: In file cabinets.

Retrievability: By name.

Safeguards: Locked file cabinet.

Retention and disposal: Disposed in accordance with Records Disposal System except in unusual cases which may be held indefinitely.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in

which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information is obtained from claimant and/or all individuals who have knowledge of the situation upon which the claim was filed.

Treasury/Customs 00.236

System name: Tort Claim Records System—Treasury/Customs.

System location: Office of the Regional Counsel, U.S. Customs Service, Region IX, 55 E. Monroe Street, Room 1417, Chicago, Illinois 60603.

Categories of individuals covered by the system: Claimants under the Federal Tort Claim Act.

Categories of records in the system: Tort Claim, Standard Form 95 (claim for damage or injury) containing name, address, marital status, personal injury and property damage information, and insurance information; also correspondence, accident reports and investigatory records regarding the alleged damage or injury and possible medical information.

Authority for maintenance of the system: 28 U.S.C. 2671 et seq.; 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in the Tort Claim Records System of the United States Customs Service are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Information contained in these files is routinely used by the attorneys in the Regional Counsel's office in determining and resolving legal issues, in recommending approval, denial, compromise or settlement of the claim, and possibly in litigation. Litigation will require disclosure of the information to the Department of Justice, and the information is often channeled through the Department of the Treasury.

For additional routine uses see Appendix AA.

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

Storage: Each case file is inserted in a file folder which is filed in a lockable drawer within a metal filing cabinet container.

Retrievability: Each case file is identified in a manual alphabetical card file by the name of the person who initiated the tort claim against the Customs Service, and officer or employee thereof. In addition, each case file is similarly identified on the file folder with the alphabetical name on the file which is placed and located within the metal container.

Safeguards: The metal filing drawer containing the files described above is maintained within the area assigned to the Office of the Regional Counsel of Customs, Region IX at 55 E. Monroe Street, Chicago, Illinois. During non-working hours, the room in which the metal filing drawer is located is locked, the file container itself is locked, and access to the building is controlled at all times by uniformed guards with a check-in system for employees. Only employees of the Regional Counsel's office and authorized building personnel have keys to the building.

Retention and disposal: These files are retained indefinitely or until there is no longer space available for them within the metal filing cabinet at which time the oldest files are transferred to the storage area within the confines of the office. The storage area is a large area containing cardboard boxes and metal storage cabinets which are not able to be locked. Files which are closed and not retained for precedent purposes are retired to the Federal Records Center, General Service Administration, 7358 S. Pulaski, Chicago, Illinois 60602 in accordance with the U.S. Customs Service Records Disposal Manual.

System manager(s) and address: Regional Counsel of Customs, Room 1417, United States Customs Service, 55 E. Monroe Street, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Counsel, Region IX, Room 1417, 55 E. Monroe Street, Chicago, Illinois 60603. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person

under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information contained in these files originates with the receipt of any correspondence indicating an alleged claim for damage or injury resulting from the conduct of the Government, U.S. Customs Service or an employee or officer of the U.S. Customs Service in Region IX. Further information in this file is derived from later correspondence from the individual, Standard Form 95 (Claim for Damage or Injury) filed by the claimant, other information submitted by the claimant, information submitted by Customs employee and/or his supervisors, and an investigation made by the Office of Internal Affairs or the Office of Investigations regarding the alleged claim or injury, as applicable. Information in these reports can be made from private parties, (witnesses), businesses, medical professionals, hospitals and other medical institutions.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.237

System name: Tort Claimants System—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Individuals filing Tort Claims against the U.S. Customs Service.

Categories of records in the system: By name and personal identifiers.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) Used by U.S. Customs Officers when investigating claims against the U.S. Customs Service for damages.

For additional routine uses see Appendix AA.

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

Storage: (1) Magnetic disc and tape; (2) Microfiche; (3) Hard copy.

Retrievability: By name of individual or company and/or personal or company identifiers.

Safeguards: "Need to know" access by investigators and District Directors staff members with full field background investigations. Procedural and physical safeguards are utilized such as accountability and receipt access, guards patrolling the areas, restricted access and alarm protection systems, special communications security, etc.

Retention and disposal: Indefinite (Reviewed Annually); None.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly and willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Individuals or companies making a claim for damage against the U.S. Customs Service and U.S. Customs Officers investigating cases involving such claims.

Treasury/Customs 00.238

System name: Training and Career Individual Development Plans—Treasury/Customs.

System location: Located in the Personnel Management Division of each region and headquarters and/or district, ports, and post of duty of employees.

Categories of individuals covered by the system: All U.S. Customs employees.

Categories of records in the system: Records are maintained on training or other development activities completed and/or planned for individual employees, whether for programs such as Executive Development or Upward Mobility, or other special emphasis development programs. Records also include such things as, but not limited to skills, abilities, education, experience, career plans and goals, and other related information.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) To determine individual training needs, to schedule training and development activities and to budget funds.

For additional routine uses see Appendix AA.

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

Storage: Records are located in file folders, and/or official personnel folder.

Retrievability: Records are indexed by name.

Safeguards: Records are maintained in locked file or office.

Retention and disposal: Records are retained until separation or until employee is no longer part of a special emphasis program.

System manager(s) and address: Director, Personnel Management Division, in each region and headquarters.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301

Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the Requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information is obtained from the employee and supervisors.

Treasury/Customs 00.239

System name: Training Records—Treasury/Customs.

System location: Personnel Management Division of each region and headquarters. Also located in districts, ports, and posts of duty.

Categories of individuals covered by the system: Customs employees who have completed training.

Categories of records in the system: Certificates of completion of training courses, memoranda documenting successful completion of training assignments, grades assigned by educational institutions when appropriate, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) The information compiled is used primarily to prepare the annual and quarterly reports for training which are required by higher Headquarters. The information also serves as a ready reference to ascertain the state of training with the Region and as an instrument to equate, insofar as possible, training opportunities for all employees, and also to verify information submitted by employees on application forms.

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in file folders, on file cards, on Training forms or on mag-tape.

Retrievability: Records are indexed by name.

Safeguards: Records are maintained in a locked file or room, or with limited access.

Retention and disposal: Records are maintained for up to three years after employee separates from the Service.

System manager(s) and address: Director, Personnel Management Division in each Region or Headquarters, or managerial official in appropriate posts of duty of employee.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information for this file is obtained from supervisors, managers, instructors, educational institutions, and/or training facilities such as the Civil Service Commission, Department of the Treasury, etc.

Treasury/Customs 00.240.

System name: Travel Advances—Treasury/Customs.

System location: Financial Management Division, U.S. Customs Service, Region 1, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Categories of individuals covered by the system: Employees who receive travel advances to cover travel expenses in the course of traveling on official government business.

Categories of records in the system: Files are maintained to record the amount of the advance payment and repayment of the advance, if necessary.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) This system is used by the Payment Section employees to determine the amount owed to or by Customs for travel expenses.

For additional routine uses see Appendix AA.

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

Storage: Data is stored in an unlocked metal, 5 x 8 file.

Retrievability: The name of each individual is listed on a record card in alphabetical order.

Safeguards: The file is located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted entry to the building.

Retention and disposal: The file is retained until the employee pays or accounts for the travel advance, and kept one year. After one year the record is sent to the Federal Record Center; kept for 3 years and then destroyed.

System manager(s) and address: Director, Financial Management Division, U.S. Customs Service, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information in the system originates from the employee and his supervisor.

Treasury/Customs 00.241

System name: Travel Advances—Treasury/Customs

System location: Financial Management Division, 7370 N.W. 36th Street, Miami, Florida 33166.

Categories of individuals covered by the system: Advances to Customs Employees only.

Categories of records in the system: Name, address and Social Security Number of employees.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used administratively to record travel advances and clearance of advance, as travel is completed. Outstanding balances reflect indebtedness of individuals until travel is completed or refunds of advance in advance.

For additional routine uses see Appendix AA.

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

Storage: Files are maintained in an unlocked drawer within a metal file cabinet.

Retrievability: Alpha Employee Name File of SF 1038, "Application for Advance of Funds".

Safeguards: The metal container described above is maintained within the area assigned to the Financial Management Division within the Customs Service Building. During non-working hours the room in which the metal container is located is locked.

Retention and disposal: These files are retained as prescribed by GAD Regulations or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Director of Financial Management, 7370 N.W. 36th Street, Miami, Florida 33166.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Financial Management Division, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229 or Regional Commissioner, Region IV. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the

records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229 or Regional Commissioner, Region IV. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: SF 1038—"Application and Account for Advance of Funds".

Treasury/Customs 00.242

System name: Travel Advance File—Treasury/Customs

System location: Regional Commissioner of Customs, Room 1501, 55 East Monroe Street, Chicago, Illinois 60603.

Categories of individuals covered by the system: Customs employees to whom advances have been issued.

Categories of records in the system: SF 1038, "Application and Account for Advance of Funds".

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552);

For additional routine uses see Appendix AA.

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

Storage: Individual alphabetical card file in file cabinet.

Retrievability: Access by name of individual.

Safeguards: The file cabinet is maintained in the office of the Regional Commissioner, Region IX, Chicago, Illinois. During non-working hours the room/building in which the file is located is locked.

Retention and disposal: Retained and disposed of in accordance with requirements of Records Control Manual.

System manager(s) and address: Regional Commissioner of Customs, 55 East Monroe Street, Chicago, Illinois 60603.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in

writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Completed Form 1038 received from any Customs employee within Region IX, Chicago, Illinois.

Treasury/Customs 00.243

System name: Travel Payment System—Treasury/Customs

System location: Accounting Division, U.S. Customs Service Headquarters, Room 7126, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Headquarters Customs Service officials and employees who travel on official business.

Categories of records in the system: Travel authorizations, travel vouchers, and travel advance records, which contain the officer's or employee's name, residence, place and mode of travel, travel dates, month of travel advance, expenses incurred, amount of travel advance, amount of advance outstanding and division code.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. Such duties may include preparing disbursement schedules so that the officer or employee will be paid for travel expenses, recording the cost of travel, advising the employee's supervisor when a travel advance is outstanding for an extended period, and compiling cost and budget information. (b) Disclosure required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: The information in this system is contained on index cards placed within a file box, in file folders or on separate sheets of paper within a metal container and in a computer system utilizing magnetic disc storage techniques.

Retrievability: The information on the index cards relates only to travel advance payments, and the index cards are filed alphabetically by the name of the traveling individual; each file folder is placed within the metal container alphabetically by the name of the traveling individual to whom it pertains; the separate sheets of paper are grouped in disbursement schedule number sequence by consecutive numbers and dates showing a listing of payments to travelers; the computer records are retrieved by the accounting number assigned by the Customs Service for each separate travel transaction.

Safeguards: The room in which this system of records is located is locked during non-working hours, the building is guarded by uniformed security police, and only authorized persons are permitted within the building.

Retention and disposal: The records in this system are retained for an indefinite period of time. There are no established procedures for disposal of the subject records.

System manager(s) and address: Director, Accounting Division, U.S. Customs Service Headquarters, Room 7126, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this system is derived from information supplied to the Accounting Division by

the traveling individual on Standard Form 1012 (Travel Voucher) and from organizational and accounting information maintained by the Customs Service.

Treasury/Customs 00.244

System name: Treasury Enforcement Communications System (TECS)—Treasury/Customs

System location: Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W.; Room 3117 Washington, D.C. 20229.

Categories of individuals covered by the system: (1) Known violators of U.S. Customs Laws. (2) Convicted violators of U.S. Customs and/or drug laws in the United States and foreign countries. (3) Fugitives with outstanding warrants-Federal or state. (4) Suspected violators of U.S. Customs or other related laws. (5) Victims of U.S. Customs law violations.

Categories of records in the system: Every possible type of information concerning an individual which contributes to effective law enforcement may be maintained in this system of records. Records include but are not limited to records pertaining to wanted persons, suspected persons, lookouts (temporary and permanent), and document reference records. Information about individuals includes but is not limited to name, alias, date of birth, address, physical description, various identification numbers, reason for the record or lookout, details and circumstances surrounding the actual or suspected violator.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) As a law enforcement tool, for example, to aid in the detection and prevention of violations, to provide and disseminate information on suspected or known violators within system to Federal, state and local enforcement officers within the United States and to other cooperating foreign countries' enforcement officers and officials. Also used by the Department of Justice in prosecuting court cases. (d) Also disclosed to the Drug Enforcement Administration.

For additional routine uses, see Appendix AA.

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

Storage: Magnetic disc and tape storage, microfiche, and hard copy.

Retrievability: Name, personal identification number and systems identification number.

Safeguards: (1) All TECS users must have a full field background investigation. (2) The "need to know" principle is followed. (3) Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling restricted areas, alarm protection systems, special microfiche and communications security, etc.

Retention and disposal: (1) Review by Customs officer each time it is retrieved and on periodic basis to see if it should be retained or modified. (2) Since both temporary and permanent records are maintained, period of retention will vary with type record entered activity of record and category of record. (3) A complete review of each record in system is made annually at Headquarters. (4) Temporary Records, erasure of magnetic disc (5) Permanent Records, no disposal. (6) Hard Copy Documents, by shredding and/or burning of the hard copy document.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support, U.S. Customs Service, 1301 Constitution Avenue, N.W.; Room 3117, Washington, D.C. 20229.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.245

System name: Treasury enforcement communications system card file—Treasury/Customs.

System location: Ports and Stations in the District of Ogdensburg, New York.

Categories of individuals covered by the system: Suspected violators of Customs or other laws.

Categories of records in the system: Name and system ID number and category of suspicion (i.e. narcotics, currency, counterfeit, etc.).

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Quick or ready reference at ports or stations not equipped with TECS secondary machines. (b) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. (c) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552). (d) In the event that this system of records includes information which indicates a violation or potential violation of law whether civil, criminal, or regulatory in nature and whether arising by general statute or particular program statute or by regulation, rule, or order issued pursuant thereto the relevant records in the system of records may be referred, as a routine use, to the appropriate agency whether Federal, state, local, or foreign charged with the responsibility of investigating or prosecuting the statute or rule, regulation, or order issued pursuant thereto. (e) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee; the issuance of a security clearance; the letting of a contract; or the issuance of a license, grant, or other benefit. (f) A record from this system of records may be disclosed to a Federal agency in response to its request in connection with the hiring or retention of an employee; the issuance of a security clearance; the reporting of an investigation of an employee; the letting of a contract; or the issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (g) Also disclosed to the Drug Enforcement Administration.

For additional routine uses see Appendix AA.

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

Storage: Rollex card file.

Retrievability: Alphabetically by name.

Safeguards: Available to inspectors only. Kept in rollex file in custody of inspector on duty.

Retention and disposal: Card is dated for disposal per original TECS message.

System manager(s) and address: Port Director, RFD Constable, Trout River, New York 12926.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the jurisdiction for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.246

System name: Uncollectible Checks File—Treasury/Customs.

System location: Classification & Value Division, Cashier Branch, Rm 228, United States Customs Service, 335 Merchant St. Honolulu, Hawaii 96813 and Honolulu International Airport, United States Customs Service, Cashier Branch.

Categories of individuals covered by the system: Vessel and aircraft passenger/crew, brokers, individuals & importers that are principally involved in uncollectible payment of duties.

Categories of records in the system: Debit Voucher for Uncollectible Checks by the Depository; correspondence and documents pertaining to effect collections from party-in-interest; record of completed action for new payment received.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in the Uncollectible Checks File of the U.S. Customs Service are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Information contained in this file is used to control the frequency of uncollectible checks by individuals.

For additional routine uses see Appendix AA.

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

Storage: Records are filed chronologically in active and inactive folders and kept in metal cabinets within locked rooms.

Retrievability: Each case is identified by name, debit voucher number and amount of uncollectible check in a chronological file.

Safeguards: The metal cabinets described above are maintained within the area assigned to the U.S. Customs Service, Cashier Branch, at the Honolulu International Airport and Honolulu Federal Building. During non-working hours, the rooms in which the metal cabinets are located are locked.

Retention and disposal: Active files are retained until uncollectible checks are settled by party-in-interest or granted relief by Financial Management Division, San Francisco, California. Inactive files are retained for five years and then destroyed.

System manager(s) and address: District Director of Customs, Rm 228, United States Customs Service, Federal Building, 335 Merchant Street, Honolulu, Hawaii 96813.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, U.S. Customs Service, Region VIII, 450 Golden Gate Avenue, San Francisco, California 94102 or to the Entry Procedures and Penalties Division, Customs Service Headquarters, Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of Customs, U.S. Customs Service, Region VIII, 450 Golden Gate Avenue, San Francisco, California 94102 or the Entry Procedures and Penalties Division, Customs Service Headquarters, Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in these files originates with the receipt of Debit Vouchers for Uncollectible Checks by the Depository from Financial Management Division which results in correspondence to the party-in-interest.

Treasury/Customs 00.247

System name: Uniform Allowance—Treasury/Customs.

System location: Management Services Branch, Administration Division, District Director, San Juan, Puerto Rico.

Categories of individuals covered by the system: Employees entitled to uniform allowance and date received.

Categories of records in the system: Name, position held, amount received for uniform allowance and date received.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Verify payments are received as requested and authorized.

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in individual cards stored in an index card box which is within a locked drawer of a desk.

Retrievability: Each card is identified by the name of the employee and filed alphabetically within the box.

Safeguards: The drawer in which the cards are kept is locked and is in the area assigned to the Management Services Branch within the Customs Service Building. During non-working hours the room in which the desk is located is locked and access to the building is controlled at all times by uniformed guards.

Retention and disposal: Records are maintained until the employee leaves the district or is no longer entitled to uniform allowance at which time his card is moved to the back of the box. When there is no more space available within the box, the oldest cards are destroyed.

System manager(s) and address: District Director, U.S. Customs Service, P.O. Box 2112, Old San Juan, Puerto Rico 00903.

Notification procedure: Request by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs, Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the

requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information is posted on the cards when checks for uniform allowance are received.

Treasury/Customs 00.248

System name: Uniform Allowance—Treasury/Customs.

System location: Financial Management Division, U.S. Customs Service, Region I, John F. Kennedy Federal Building Boston, Massachusetts 02203.

Categories of individuals covered by the system: Employees of the Customs Service who are eligible to receive payments for maintaining uniforms.

Categories of records in the system: Name of employee, date of eligibility, period of eligibility, amount paid and District assigned.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program, statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (f) The system is used to determine the status of eligibility of uniformed employees so that payment can be processed by the employees of the Payment Section.

For additional routine uses see Appendix AA.

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

Storage: Data is stored in a 5 x 8 two drawer file, accessible to employees of the Payment Section of the Financial Management Division.

Retrievability: The name of each individual is listed on a card which is filed in alphabetical order.

Safeguards: The file is located within an office that is locked during non-working hours. The building is guarded by uniformed security police and only authorized persons are permitted entry to the building.

Retention and disposal: Files are maintained until employee leaves position, retained for two years and then destroyed.

System manager(s) and address: Director, Financial Management Division, U.S. Customs Service, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see, Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue N.W., Washington D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs, Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue Washington D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in the system originates from the District office where the employee is stationed.

Treasury/Customs 00.249

System name: Uniform Allowances—Unit Record—Treasury/Customs.

System location: Financial Management Division, 7370 N.W. 36th Street, Miami, Florida 33166.

Categories of individuals covered by the system: U.S. Customs Employees.

Categories of records in the system: Name—Record of Uniform Allowance Payments.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C.

552); (c) Used by Accounting technicians to record amounts paid to uniformed personnel annually.

For additional routine uses see Appendix AA.

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

Storage: Files are maintained in an unlocked drawer within a metal file cabinet.

Retrievability: Alpha by Name. Appropriation Accounting Document Number.

Safeguards: The metal container described above is maintained within the area assigned to the Financial Management Division within the Customs Service Building. During non-working hours the room in which the metal container is located is locked and access to the building is controlled by uniformed guards.

Retention and disposal: These files are retained as prescribed by GAD Regulations or until there is no longer any space available for them within the metal container, at which time the oldest files are transferred to the Federal Records Center.

System manager(s) and address: Direction of Financial Management, 7370 N.W. 36th Street, Miami, Florida 33166.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs, Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs, Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: From Memo's received from Districts. Data Transcribed from Payment Vouchers.

Treasury/Customs 00.250

System name: Uniform Allowance File—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif; Offices of the Port Directors, San Ysidro, Calif;

Tecate, Calif; Calexico, Calif; Andrade, Calif; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif; San Ysidro, Calif; Calexico, Calif; Tecate, Calif.

Categories of individuals covered by the system: All Customs Officers who are required to wear a designated uniform in the performance of their duties.

Categories of records in the system: Regional Form VII-RC-91, name, title, GS-level, date entered on duty, duty location, percentage of time uniform worn, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended, and the Customs Accounting Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure of those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (f) Provide information as to uniforms for Customs Officers and funds for uniform maintenance.

For additional routine uses see Appendix AA.

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

Storage: Regional Form RC-VII-91 in manila folder.

Retrievability: Name and duty location.

Safeguards: Locked cabinet.

Retention and disposal: Yearly and then disposed.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Employees, supervisors, and other Customs Divisions.

Treasury/Customs 00.251.

System name: Unscheduled Overtime Report (Customs Form 31)—Treasury/Customs.

System location: Director, Office of Operations, 6 World Trade Center, Rm. 508, New York, New York.

Categories of individuals covered by the system: Special Agents assigned to the office of Regional Director of Investigations authorized to receive unscheduled overtime remuneration.

Categories of records in the system: Customs Form 31 enumerates the nature of overtime performed, the number of hours and the date on which the overtime was performed and the case number of investigation.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used to account for and control unscheduled overtime.

Additional routine uses see Appendix AA.

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

Storage: The information in this system is contained on CF 31, the forms are contained within a file folder and are placed in a metal file cabinet.

Retrievability: By name.

Safeguards: The file cabinet is maintained within the area assigned to the Regional Director of Investigations, New York, within the Customhouse. During non-working hours the complex in which the file is located is locked and access to the building is controlled at all times by uniform guards.

Retention and disposal: The forms are destroyed after three years.

System manager(s) and address: Regional Director of Investigations. (See Customs Appendix A.)

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present

adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in this system originates from the Special Agent who performs the unscheduled overtime.

Treasury/Customs 00.252

System name: Valuables Shipped Under the Government Losses in Shipment Act—Treasury/Customs.

System location: District Director of Customs, Chicago, Illinois.

Categories of individuals covered by the system: Customs employees collecting and transmitting funds to cashier for deposit.

Categories of records in the system: Name of employee, collection document serial numbers, amount of collection.

Authority for maintenance of the system: Section 300.30, Customs Accounting Manual; 5 U.S.C. 134f; 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Filed in folders with the individual's name appearing at the top thereof in a file cabinet.

Retrievability: Each record folder is filed by name of individual.

Safeguards: The cabinet described above is maintained within the area assigned in the Customs office. During non-working hours the area in which the cabinet is located is secured.

Retention and disposal: Retained for three years and then forwarded to FRC for seven years retention.

System manager(s) and address: District Director, as appropriate, in Region IX, Chicago, Illinois.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Data submitted by individual Customs employee involved.

Treasury/Customs 00.253

System name: Vehicle Microfiche Files—Treasury/Customs.

System location: U.S. Customs Service, Office of Investigations, Region V, 2900 Plaza Tower Building, New Orleans, La. 70113.

Categories of individuals covered by the system: Owners of movable vehicles registered in the State of Louisiana.

Categories of records in the system: Name indices of vehicles.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Information contained in these microfiche files is provided for the routine use of the Office of Investigations of the Customs Service for the purpose of verifying information received from other sources in conjunction with investigations within the Office of Investigations.

For additional routine uses see Appendix AA.

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

Storage: These microfiche files are maintained in a file folder in a metal cabinet. The cabinet is located in a room which is manned during normal office hours, and locked after hours.

Retrievability: These microfiche files are identified by alphabetical name of the categories of individuals maintained in that file and information is retrievable manually from these files.

Safeguards: These microfiche files are kept in a metal cabinet and are maintained within the room which is manned by Office of Investigations personnel during normal office hours. During non-working hours, the room in which the metal cabinet is located is locked and entrances to the office which contains that room are locked. Access to the building containing the office is controlled during non-working hours by a uniformed guard.

Retention and disposal: These files are retained indefinitely or until updated by more current records at which time the old records are disposed of by shredding.

System manager(s) and address: Regional Director, Investigations, U.S. Customs Service, Office of Investigations, 2900 Plaza Tower Building, New Orleans, La. 70113.

Notification procedure: Requests by an individual to be notified if the system of record contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in these microfiche files originates and consists of information generated from vehicle registration forms submitted to the State of Louisiana.

Treasury/Customs 00.254

System name: Vessel Identification Report—Treasury/Customs.

System location: Office of the Director, District Patrol, Suite 2800 Plaza Tower Building, 1001 Howard Ave., New Orleans, La. 70113.

Dir., District Patrol Division, Rm 213, International Trade Center, 250 N. Water Street, Mobile, AL 36602.

Categories of individuals covered by the system: All suspect vessels and/or boats that information has been received on indicating unlawful or suspicious activity.

Categories of records in the system: Regional form containing vessel's name, photograph, date of photo, place of photo, name of boat owner, his address, and any other important information pertaining to suspect vessel.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) Used as an aid to law enforcement and to identify vessels that require watching.

For additional routine uses see Appendix AA.

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

Storage: Records maintained in standard Customs file folders in locked metal cabinets.

Retrievability: System filed alphabetically and retrieved manually.

Safeguards: File maintained in locked metal file cabinet, the keys of which are controlled by the custodian of the files. Those departmental officials who may occasionally be granted access consistent with their positions have been cleared by a full field background investigation and granted appropriate security clearance for critical sensitive positions. During non-working hours the room housing the metal cabinets is locked.

Retention and disposal: Retain indefinitely.

System manager(s) and address: Director, District Patrol Division, Suite 2800 Plaza Tower Bldg., 1001 Howard Ave., New Orleans, La. 70113.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption are contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.255

System name: Vessel Violation Profile System—Treasury/Customs.

System location: U.S. Customs Service, Office of Enforcement Support, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Categories of individuals covered by the system: Masters associated, in the capacity of ship agent or representative, with vessels in actual or suspected violation of Customs and related laws.

Categories of records in the system: Vessel's name, Master's name, search results and history of the prior violations of Customs and related laws. Includes lookout information, if available.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be

disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (f) Documentation of vessel violations committed while in United States ports. (g) Determination of search operations by consideration of past violations and selective intelligence information. (h) Provides management information. (i) In the support of the Department of Agriculture, by assisting in the quarantine control of infested vessels. (j) In support of the Immigration and Naturalization Service, by assisting in the collection of payments attendant to the handling of aliens. (k) In support of other regulatory and/or enforcement agencies.

For additional routine uses see Appendix AA.

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

Storage: (1) Magnetic disc and tape storage. (2) Hardcopy record in manual files. (3) Microfiche.

Retrievability: By name of vessel, Master, owner, or agent.

Safeguards: All inquiries are made by officers with full field background investigations on a "need to know" basis only. Procedural and physical safeguards are utilized such as accountability and receipt records, guards patrolling the area, restricted access and alarm protection systems, special communications security, etc.

Retention and disposal: The records are retained indefinitely.

System manager(s) and address: Assistant Commissioner, Office of Enforcement Support U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 3117, Washington, D.C. 20229.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.256

System name: Violation Index File—Treasury/Customs.

System location: Fines and Penalties Section, Office of the District Director of Customs, 100 N.E. 7th St., Miami, Fla.

Categories of individuals covered by the system: Individuals and/or vessels for which civil penalty cases have been made.

Categories of records in the system: This is a card index showing the individual or vessel's name, the section of law violated, the case number and date.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) This file is routinely used as a convenience index but may also be used to check if a violator has previous violations. (d) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (e) A record from this

system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (f) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: Record is stored in a 5 x 8 file box.

Retrievability: Record may be retrieved by name of individual or name of vessel.

Safeguards: Record is stored in an area where access is to authorized Customs personnel only.

Retention and disposal: Records are retained 5 years and then destroyed.

System manager(s) and address: District Director of Customs, 100 N.E. 7th Street, Miami, Florida 33132.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Information for the index is from the case files processed in the Miami district.

Treasury/Customs 00.257

System name: Violators Card File—Treasury/Customs.

System location: Office of District Director, U.S. Customs Service, U.S. Customhouse, 101 E. Main Street, Norfolk, Va. 23510.

Categories of individuals covered by the system: Persons or firms who have violated any law administered by the U.S. Customs Service within the Norfolk District.

Categories of records in the system: Name of individual or firm, case number and date and section of law violated. This information is obtained from Customs Forms, 151 and 5955-A.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1; Treasury Department Order No. 165, Revised, as Amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties. (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552). (c) Provide the proper authority within the U.S. Customs Service with a ready reference to make a decision for the remission or mitigation of penalties, forfeitures and claims for forfeiture value.

For additional routine uses see Appendix AA.

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

Storage: Each card is filed alphabetically in an unlocked drawer within a metal container.

Retrievability: Each manual alphabetical card file is identified by the name of the person or firm who has violated any law administered by the U.S. Customs Service within the Norfolk District.

Safeguards: The metal container described above is maintained within the area assigned to the Fines, Penalties & Forfeitures Officer within the U.S. Customhouse. During non-working hours the room in which the metal container is located is locked. Security for the building is maintained by GSA.

Retention and disposal: Active cards are retained in this system indefinitely. However, upon periodic review, information on firms no longer in business are destroyed.

System manager(s) and address: District Director of Customs, U.S. Customhouse, 101 E. Main St., Norfolk, Va. 23510.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his

identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained in these files is derived from Customs Form 151 (Search/Arrest/Seizure Report) and Customs Form 5955-A (Notice of Penalty or Liquidated Damages Incurred and Demand for Payment) which are prepared by the Customs Service.

Treasury/Customs 00.258

System name: Violator's Case Files—Treasury/Customs.

System location: District Director of Customs, U.S. Customs Service, St. Albans, Vermont, 05478.

Categories of individuals covered by the system: Individuals involved in smuggling, filing false invoices, documents or statements, violators of Customs bonds.

Categories of records in the system: Individual's name and address, social security number and physical description; alias, occupation, type of violation, previous record, driver's license, passport number.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute, or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto; (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to any agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

For additional routine uses see Appendix AA.

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

Storage: File folders and 3 x 5 index cards.

Retrievability: Alphabetized by name of individual and local control number.

Safeguards: Files are under the supervision of the Fines, Penalties and Forfeitures Officer 8 a.m. to 5 p.m., Monday through Friday. All other hours, office remains locked.

Retention and disposal: Files are maintained in the office of the Fines, Penalties, and Forfeitures Officer for a period of five years. At the conclusion of this period, they are destroyed by shredding.

System manager(s) and address: District Director, U.S. Customs Service, St. Albans, Vermont 05478.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.259

System name: Violators File Treasury/Customs.

System location: Director, Office of Investigations, 6 World Trade Center, Rm. 508, New York, New York 10048.

Categories of individuals covered by the system: Violators and alleged violators of Customs regulations and law. Associates of violators and alleged violators. Individuals, business firms and groups suspected of violating Customs regulations and laws. Individuals and firms regulated by U.S. Customs and those having routine business with U.S. Customs.

Categories of records in the system: Names, addresses and limited identifying data.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service who have a need for the records in the performance of their duties. (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552). (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto.

For additional routine uses see Appendix AA.

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

Storage: The system is maintained on 6 x 5 index cards.

Retrievability: The cards are filed alphabetically.

Safeguards: The cards are stored in secure metal containers with key locks. The metal containers are located in locked rooms, the keys of which are controlled and issued to the custodian of the files. The personnel who maintain the files are selected for their experience and afforded access only after having been cleared by a full-field background investigation and granted appropriate security clearances for critical sensitive positions.

Retention and disposal: The index cards are maintained on a permanent basis.

System manager(s) and address: Regional Director of Investigations, New York, New York.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.260

System name: Warehouse Proprietor Files—Treasury/U.S. Customs.

System location: Offices of District Directors, Region IX, Chicago, Illinois. See Customs Appendix A.

Categories of individuals covered by the system: Present and past warehouse proprietors and employees that require an investigation and related information.

Categories of records in the system: Report of investigations, application and approval or denial of bond to act as warehouse proprietor and other Customs Service Memoranda. Names, addresses, social security numbers, and dates and places of birth of persons employed.

Authority for maintenance of the system: Customs Regulations, Part 19, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Records are maintained in file folders and stored in file cabinets in each District Director's office within Region IX, Chicago, Illinois.

Retrievability: Each file is identified by the name of the warehouse proprietor.

Safeguards: The file cabinets are maintained within the area assigned to the District Director. During nonworking hours the room and/or building in which the file cabinet is located is locked.

Retention and disposal: These files are retained indefinitely. Employee name data retained for period of employment with warehouse proprietor.

System manager(s) and address: District Director, as appropriate in Region IX, Chicago, Illinois. See Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the Region in which the records are located (see Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record source categories: The information in this file originates from the individual applicant for warehouse proprietor's bond, from reports of investigation, and other Customs Memoranda.

Systems exempted from certain provisions of the act: The Commissioner of Customs pursuant to 5 U.S.C. 552a (j) and/or (k) has proposed to exempt this system of records from certain requirements of 5 U.S.C. 552a. The provisions of 5 U.S.C. 552a from which this system of records is proposed to be exempted and the justification for the exemption is contained in a general notice which appears elsewhere in the Federal Register.

Treasury/Customs 00.261

System name: Warehouse Violation Record.—Treasury/Customs.

System location: Fines, Penalties and Forfeitures Section, Room 102, U.S. Customhouse, Second and Chestnut Streets, Philadelphia, Pennsylvania 19106.

Categories of individuals covered by the system: Persons making importations against their Warehouse Proprietor's Bond.

Categories of records in the system: The record reveals the individual's or Customhouse Broker's name, case number assigned and date, amount of penalty incurred, mitigated sum or remission and date closed. The record results in a summary of repetitive violations by any one individual, firm or Customhouse Broker and disciplinary action toward reduction or elimination of violations.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as Amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552).

For additional routine uses see Appendix AA.

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

Storage: Warehouse violation record cards are filed alphabetically in an unlocked metal file cabinet.

Retrievability: Each record card is filed alphabetically within the metal cabinet.

Safeguards: The metal cabinet described above is maintained within the area assigned to the Fines, Penalties and Forfeitures Section in Room 102 of the Customhouse, Philadelphia; during nonworking hours, access to the building and area of storage is controlled by uniformed guards.

Retention and disposal: Warehouse violation record cards are retained at location three years; then destroyed.

System manager(s) and address: District Director of Customs, Room 102, U.S. Customhouse, Second and Chestnut Streets, Philadelphia, Pennsylvania 19106.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the Region in which the records are located (See Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed.

Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature. If an individual can provide no suitable document for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the record may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the Region in which the records are located (See Customs Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information contained on these cards originates from liquidated damage cases instituted for failure to comply with Warehouse Proprietors Bonds.

Treasury/Customs 00.262

System name: Warnings to Importers in lieu of penalty.—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif; Offices of the Port Directors, San Ysidro, Calif; Tecate, Calif; Calexico, Calif; Andrade, Calif; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif; San Ysidro, Calif; Calexico, Calif; Tecate, Calif. See Customs Appendix A.

Categories of individuals covered by the system: Individuals and firms in violation of Customs's laws.

Categories of records in the system: Brief record of violation and warning.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure of those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulations, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. Available to Inspectors, Import Specialists and Agents, and other Customs employees who have need for this information.

For additional routine uses see Appendix AA.

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

Storage: Maintained on 5 x 7 cards.

Retrievability: Alphabetically indexed.

Safeguards: Not accessible to other than Customs officers.

Retention and disposal: Indefinite.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District. See Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of the region in which the records are located (see Appendix A), or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

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Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to 5,000 dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Customs Officials.

Treasury/Customs 00.263

System name: Work hour records of employees.—Treasury/Customs.

System location: Budget and Planning Division, Office of Administration, U.S. Customs Service, Room 7126, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Categories of individuals covered by the system: Persons employed by the U.S. Customs Service.

Categories of records in the system: Current and cumulative work hour data taken from time and attendance cards of employees of the U.S. Customs Service.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosures to those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting

agency's decision on the matter. (f) Work hour information is used to develop reports required by the Office of Management and Budget (OMB) and the Congress on man-years and their distribution by activity. (g) Information from this system is disclosed on a routine basis to OMB and to the Congress for their use in evaluating the activities of Customs and to other government agencies where there is a need for them to have this information in the conduct of their official responsibilities.

For additional routine uses see Appendix AA.

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

Storage: Hard copy computer print-out kept in a loose leaf binder.

Retrievability: By the employee's name.

Safeguards: Access to these records is limited to employees of the Budget and Planning Division. The room in which the records are kept is locked during non-working hours. The building is patrolled by security police on a round-the-clock basis and only authorized persons are permitted in the building.

Retention and disposal: Annual reports showing cumulative data for the preceding year are kept indefinitely. Monthly reports showing cumulative data for the preceding month are kept for two years and then disposed of as paper trash.

System manager(s) and address: Director, Budget and Planning Division, Office of Administration, U.S. Customs Service, Room 3415, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: The information in the system is generated by the Customs Service in the course of preparing attendance and leave records on Customs employees.

Treasury/Customs 00.264

System name: Workman's Compensation & Job-Related Injury File—Treasury/Customs.

System location: Located in the Office of the District Director, San Diego, Calif; Offices of the Port Directors, San Ysidro, Calif; Tecate, Calif; Calexico, Calif; Andrade, Calif; San Diego Barge Office; and the Offices of the Customs Patrol Division, San Diego, Calif; San Ysidro, Calif; Calexico, Calif; Tecate, Calif. See Customs Appendix A.

Categories of individuals covered by the system: All individuals who may have sustained an injury or who have filed for Workman's Compensation.

Categories of records in the system: Information contained on CA 1 & CA 2 and CA 16 & 17 (Dept. of Labor forms), including medical records, witness reports, etc.

Authority for maintenance of the system: 5 U.S.C. 301; Reorganization Plan No. 1 of 1950; Treasury Department Order No. 165, Revised, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in this system of records are as follows: (a) Disclosure of those officers and employees of the Customs Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in administration of the Freedom of Information Act (5 U.S.C. 552); (c) In the event that this system of records includes information which indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (d) A record from this system of records may be disclosed as a "routine use" to a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit. (e) A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. To maintain claims and files for processing in accordance with operating procedures.

For additional routine uses see Appendix AA.

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

Storage: In manila folder.

Retrievability: By name.

Safeguards: Locked file cabinet.

Retention and disposal: 3 years or indefinitely.

System manager(s) and address: District Director, Port Directors, and Division Directors within the San Diego Customs District. See Customs Appendix A.

Notification procedure: Requests by an individual to be notified if the system of records contains records pertaining to him shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071—Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Record access procedures: Requests by an individual to be notified how he can gain access to a record pertaining to him contained in a system of records, and how he can contest its content shall be in writing and directed to the Regional Commissioner of Customs, P.O. Box 2071-Main Post Office, Los Angeles, California 90053, or to the Director, Entry Procedures and Penalties Division, Office of Regulations and Rulings, U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20029. The requester will be notified in writing of the procedures to be followed. Where the request is presented in person, the requester shall present adequate identification to establish his identity, and a comparison of his signature and those in the records may be made where the records contain the necessary signature.

If an individual can provide no suitable documents for identification, he may be required to make a signed statement asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars.

Where the request is not presented in person, it shall be accompanied by a notarized statement executed by the requester asserting identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another person under false pretenses is punishable by a fine up to five thousand dollars. A comparison of his signature and those in the records may be made where the records contain the necessary signature.

Contesting record procedures: See Access above.

Record source categories: Employees, supervisors, medical records, etc.

UNITED STATES CUSTOMS SERVICE

APPENDIX A

Addresses of Headquarters, U.S. Customs Service, Regional Commissioners of Customs, District Directors of Customs, and Customs Office of Investigations field offices:

- U.S. Customs Service Headquarters, 1301 Constitution Avenue, N.W., Washington, D.C. 20229.
- Regional Commissioner of Customs, 40 S. Gay Street, Baltimore, Maryland 21202, (301)962-3288.
- Regional Commissioner of Customs, JFK Federal Building, 100 Summer Street, Boston, Massachusetts 02110, (617)223-7506.
- Regional Commissioner of Customs, 55 E. Monroe Street, Chicago, Illinois 60603, (312)353-4731.
- Regional Commissioner of Customs, 500 Dallas Street, Houston, Texas 77002, (713)226-4893.
- Regional Commissioner of Customs, 300 N. Los Angeles Street, Los Angeles, California 90053, (213)688-5900.
- Regional Commissioner of Customs, 3730 N.W. 36th Street, Miami, Florida 33166, (305)350-5952.
- Regional Commissioner of Customs, 701 Loyola Avenue, New Orleans, Louisiana 70113, (504)589-6324.
- Regional Commissioner of Customs, 6 World Trade Center, New York, New York 10048, (212)466-4444.
- Regional Commissioner of Customs, 450 Golden Gate Avenue, San Francisco, California 94102, (415)556-3500.

Customs District Offices.

(Note: New York has Area Directors instead of District Directors. Roman numeral designates Customs region).

- VIII Anchorage, Alaska 99501/204 E. Fifth Ave. (907)279-2543.
- III Baltimore, Maryland 21202/103 S. Gay St. (301)962-2666.
- I Boston, Massachusetts 02109/2 India St. (617)223-6598.
- I Bridgeport, Connecticut 06609/120 Middle St. (203)366-7851.
- I Buffalo, New York 14202/111 W. Huron St. (716)842-5901.

- IV Charleston, South Carolina 29401/200 E. Bay St. (803)577-4171.
- IX Chicago, Illinois 60607/610 S. Canal St. (312)353-6100.
- IX Cleveland, Ohio 44199/1240 E. 9th St. (216)522-4284.
- IX Detroit, Michigan 48226/243 W. Congress St. (313)226-3177.
- IX Duluth, Minnesota 55802/515 W. First St. (218)727-6692.
- VI El Paso, Texas 79985/Bldg. B, Room 134, Bridge of the Americas (P.O. Box 9516) (915)543-7435.
- VI Galveston, Texas 77550/17th & Strand Sts. (713)763-1211.
- VIII Great Falls, Montana 59401/215 1st Ave. N. (406)453-7840.
- VIII Honolulu, Hawaii 96806/335 Merchant St. (808)546-3115.
- VI Houston, Texas 77052/701 San Jacinto St. (713)226-4316.
- VI Laredo, Texas 78040/1000 Zaragoza (512)723-2956.
- VII Los Angeles/Long Beach/300 S. Ferry St., San Pedro, California 90731 (213)548-2441.
- IV Miami, Florida 33132/100 N.E. 7th St. (305)350-5791.
- IX Milwaukee, Wisconsin 53202/628 E. Michigan St. (414)224-3924.
- IX Minneapolis, Minnesota 55401/110 S. Fourth St. (612)725-2317.
- V Mobile, Alabama 36602/250 N. Water St. (205)690-2106.
- V New Orleans, Louisiana 70130/423 Canal St. (504)589-6353.
- II New York, New York: New York Seaport Area, New York, New York 10048, Customhouse, 6 World Trade Center, (212)466-5817, Kennedy Airport Area, Jamaica, New York 11430, Seaboard World Building, Room 178, (212)995-7083, Newark Area, Newark, New Jersey 07105, 400 Delaney St. (201)645-3760.
- VII Nogales, Arizona 85621/International & Terrace Sts. (602)287-4955.
- III Norfolk, Virginia 23510/101 E. Main St. (804)441-6546.
- I Ogdensburg, New York 13669/127 N. Water St. (315)393-0660.
- IX Pembina, North Dakota 58271/Post Office Bldg. (701)825-6201.
- III Philadelphia, Pennsylvania 19106/2nd & Chestnut Sts. (215)597-4605.
- VI Port Arthur, Texas 77640/5th & Austin Ave. (713)982-2831.
- I Portland, Maine 04111/312 Fore St. (207)775-3131.
- VIII Portland, Oregon 97209/N.W. Broadway & Glisan Sts. (503)221-2865.
- I Providence, Rhode Island 02903/24 Weybosset St. (401)528-4383.
- I St. Albans, Vermont 05478/Main & Stebbins Sts. (802)524-6527.
- IX St. Louis, Missouri 63105/120 S. Central Ave. (314)622-4491.
- IV St. Thomas, Virgin Islands 00801/(P.O. Box 510) (809)774-2510.
- VII San Diego, California 92101/2262 Columbia St. (714)293-5360.
- VIII San Francisco, California 94111/555 Battery St. (415)556-4340.
- IV San Juan, Puerto Rico 00903/(P.O. Box 2112) (809)723-2091.
- IV Savannah, Georgia 31401/1 East Bay St. (912)232-4321.
- VIII Seattle, Washington 98104/First & Marion Sts. (206)442-5491.
- IV Tampa, Florida 33602/301 S. Ashley Dr. (813)228-2381.
- III Washington, D.C. 20018/3180 Bladensburg Rd., N.E. (202)964-8511.
- IV Wilmington, North Carolina 28401/2094 Polk St. (919)763-9971.

Office of Investigations field offices

Region I-Boston

- Office of Regional Director of Investigations, Room 1700, U.S. Customhouse, Boston, Massachusetts 02109.
- Office of Resident Agent, P.O. Box 368, Derby Line, Vermont 05830.
- Office of Resident Agent, P.O. Box 432, Houlton, Maine 04111.
- Office of Special Agent In Charge, Room 17, U.S. Customhouse, Portland, Maine 04111.
- Office of Special Agent In Charge, 127 N. Water St., Ogdensburg, New York 13669.
- Office of Resident Agent, 770 Chapel Street, Suite 2B, New Haven, Connecticut.
- Office of Special Agent In Charge, U.S. Federal Building, Rm. 1206, 111 West Huron, Buffalo, New York 14202.
- Office of Special Agent In Charge, P.O. Box 68, Rouses Point, New York 12979.

Region II-New York

- Office of Regional Director of Inv., U.S. Customs Service, Room 508-6 World Trade Center, New York, New York 10048.
- Office of Special Agent In Charge, Room 203 C, 400 Delancey Street, Newark, New Jersey 07105.
- Office of Special Agent In Charge, J.F.K. International Airport, Inter. Arrival Bldg., 160-19 Rockaway Blvd., New York, New York 11430.
- Region III-Baltimore**
- Office of Regional Director of Inv., Room 810, U.S. Appraisers Stores Bldg., 103 South Gay Street, Baltimore, Maryland 21202.
- Office of Resident Agent, 701 West Broad Street, Rm. 301, Falls Church, Virginia 22046.
- Office of Special Agent In Charge, 201 U.S. Customhouse, 2nd & Chestnut Streets, Philadelphia, Pennsylvania 19106.
- Office of Resident Agent, Room 2236, Federal Building, 1000 Liberty Avenue, Pittsburgh, Pennsylvania 15222.
- Office of Special Agent In Charge, 201 U.S. Customhouse, Norfolk, Virginia 23510.
- Region IV-Miami**
- Office of Regional Director of Inv., Eastern Union Building, 111 S.W. 3rd Street, Miami, Florida 33130.
- Office of Resident Agent, 700 Clematis Street, Rm. 253, West Palm Beach, Florida 33401.
- Office of Special Agent In Charge, P.O. Box 1516, Tampa, Florida 33601.
- Office of Resident Agent, 2701 Talleyrand Avenue, Jacksonville, Florida 32206.
- Office of Special Agent In Charge, Drawer A, Savannah, Georgia 31408.
- Office of Resident Agent, 1585 Phoenix Boulevard, Suite 5, Atlanta, Georgia 30349.
- Office of Special Agent In Charge, P.O. Box 898, Wilmington, North Carolina 28401.
- Office of Special Agent In Charge, U.S. Customs Service, P.O. Box S-1272, Old San Juan, Puerto Rico 00902.
- Office of Resident Agent, P.O. Box 127, Ponce Playa, Puerto Rico.
- Office of Resident Agent, U.S. Customhouse, P.O. Box 3226, Marina Station, Mayaguez, Puerto Rico.
- Office of Special Agent In Charge, P.O. Box 698, Charlotte-Amalie, St. Thomas, Virgin Islands.
- Office of Resident Agent, P.O. Box 1801—Christiansted, St. Croix, Virgin Islands.
- Region V-New Orleans**
- Office of Regional Director of Inv., Suite 2900, Plaza Tower Building, 1001 Howard Street, New Orleans, Louisiana 70113.
- Office of Special Agent In Charge, International Trade Center, P.O. Box 1704, Mobile, Alabama 36601.
- Office of Resident Agent, 1719 West End Building, Room 303, Nashville, Tennessee 37203.
- Region VI-Houston**
- Office of Regional Director of Inv., Suite 1380, 500 Dallas Street, Houston, Texas 77002.
- Office of Resident Agent, Suite 210, 700 Paredes Ave., Brownsville, Texas 78520.
- Office of Resident Agent, P.O. Drawer 1169, Del Rio, Texas 78440.
- Office of Resident Agent, 1114 Commerce Street, 17th Floor, Dallas, Texas 75202.
- Office of Special Agent In Charge, P.O. Box 498, Laredo, Texas 78040.
- Office of Resident Agent, P.O. Box 828, Eagle Pass, Texas 78852.
- Office of Resident Agent, 2600 North 10th Street, McAllen, Texas 78501.
- Office of Resident Agent, 1802 N.E. Loop 410, Suite 302, San Antonio, Texas 78217.
- Office of Special Agent In Charge, P.O. Box 10719, El Paso, Texas 79997.
- Office of Resident Agent, 5301 Central Avenue, N.E., Suite 919, 1st National Bank Building, East, Albuquerque, New Mexico 87108.
- Office of Resident Agent, 721 19th Street, Room 404, P.O. Box 2771, Denver, Colorado 80201.
- Region VII-Los Angeles**
- Office of Regional Director of Inv., 300 South Ferry Street, Room 2037, Terminal Island, San Pedro, California 90731.
- Office of Special Agent In Charge, P.O. Box 1385, Nogales, Arizona 85621.
- Office of Resident Agent, P.O. Box 5752, Suite 200, First Federal Savings Building, 350 West 16th Street, Yuma, Arizona 85364.
- Office of Resident Agent, P.O. Box 1076, 1065 F Avenue, Glenn Bldg., Douglas, Arizona 85607.
- Office of Resident Agent, Room 328, Amerco Towers, 2721 No. Central Avenue, P.O. Box 2259, Phoenix, Arizona 85002.
- Office of Resident Agent, P.O. Box 2911, Tucson, Arizona 85702.
- Office of Special Agent In Charge, P.O. Box 187, San Ysidro, California 92073.
- Office of Resident Agent, P.O. Box 1510, Calexico, California 92231.
- Region VIII-San Francisco**
- Office of Regional Director of Inv., 681 Market Street, Room 300, San Francisco, California 94101.
- Office of Special Agent In Charge, 4100 Federal Office Building, 909 First Avenue, Seattle, Washington 98174.
- Office of Resident Agent, P.O. Box 1360, Blaine, Washington 98230.
- Office of Resident Agent, P.O. Box 1483, Spokane, Washington 99210.
- Office of Special Agent In Charge, P.O. Box 199, Anchorage, Alaska 99510.
- Office of Special Agent In Charge, P.O. Box 71, Great Falls, Montana 59403.
- Office of Special Agent In Charge, 1000 Bishop Street, Suite 1210, Honolulu, Hawaii 96813.
- Office of Special Agent In Charge, P.O. Box 2841, Portland, Oregon 97208.
- Region IX-Chicago**
- Office of Regional Director of Inv., 55 E. Monroe Street, Suite 1423, Chicago, Illinois 60603.
- Office of Special Agent In Charge, 628 East Michigan Street, Room 208, Milwaukee, Wisconsin 53202.
- Office of Special Agent In Charge, 120 South Central Ave., Suite 440, St. Louis, Missouri 63105.
- Office of Resident Agent, Room 259, Federal Building, 301 West Lexington Street, Independence, Missouri 64050.
- Office of Special Agent In Charge, Plaza Nine, 55 Erieview Plaza, Room 210, Cleveland, Ohio 44114.
- Office of Resident Agent, P.O. Box 1035, Fountain Square Station, Cincinnati, Ohio 45201.
- Office of Resident Agent, P.O. Box 44835, Federal Building, Room 511 Indianapolis, Indiana 46204.
- Office of Special Agent In Charge, Room 507, Meierhoff Building, 325 Lake Avenue, South, Duluth, Minnesota 55802.
- Office of Special Agent In Charge, Room 501, 243 West Congress St., Detroit, Michigan 48226.
- Office of Special Agent In Charge, P.O. Box 192, Pembina, North Dakota 58271.
- Office of Special Agent In Charge, 574 Federal Building, Ft. Snelling, Twin Cities, Minneapolis, Minnesota 55111.

Treasury/USSS 00.001

System name: Administrative Operations Information System—Treasury/USSS

System location:

System location: U.S. Secret Service (Headquarters), 1800 G Street N.W., Washington, D.C. 20223. Components of the Administrative Operations Information System are geographically dispersed throughout Secret Service field offices. (See below, United States Secret Service, Appendix A, listing the addresses of Secret Service offices). Executive Protective Service 1310 I. Street, N.W., Washington, D.C. 20500. Treasury Security Force, Main Treasury Building, Washington, D.C. 20220. Presidential Protective Division, U.S. Secret Service, Room 1 EOB 17th & Pennsylvania Avenue, N.W., Washington, D.C. 20500. Vice Presidential Protective Division, U.S. Secret Service, Executive Office Building Room 295, Washington, D.C. 20500. Foreign Dignitary Protective Division U.S. Secret Service, 1310 I. Street, N.W., Washington, D.C. 20005. Protective Support Division, U.S. Secret Service, 1310 I. Street, N.W., Washington, D.C. 20005. Eisenhower Protective Division, U.S. Secret Service, Gettysburg, Pennsylvania 17325. Johnson Protective Division, U.S. Secret Service, Stonewall, Texas 78671. Kennedy Protective Division, U.S. Secret Service, 1040 Fifth Avenue, New York, New York 10028. Truman Protective Division, U.S. Secret

Service, 224 North Delaware, Independence, Missouri 64051. Nixon Protective Division, U.S. Secret Service, U.S. Coast Guard Station, San Clemente, California 92672. Technical Security Division, Executive Office Building, Washington, D.C. 20500.

Categories of individuals covered by the system: (a) Individuals who are now or were Secret Service employees; (b) Individuals, contractors, and vendors, etc., who are presently doing or previously did business with the Secret Service; (c) Claimants against the Service under the Federal Tort Claims Act and the Military Personnel and Federal Employees Claims Act.

Categories of records in the system: (a) Records containing information on issuance of Secret Service equipment and accountable government property; (b) Records containing procurement negotiations, contracts, agreements, etc., with the Secret Service; (c) Records containing information on past, present and future administrative inquiries, with individuals, contractors, vendors, etc., who have or plan to enter into contractual agreements with the Secret Service; (d) Records on vehicle accidents, injuries, fatalities; (e) Records on motor vehicle operators in the Secret Service; (f) Statement of employment and financial interests of certain Secret Service employees required under Treasury Department standards of conduct.

Authority for maintenance of the system: The authority of the Administrative Operations Information System is contained in various Executive Orders, Treasury Orders and delegations; Title 40 and 41 of the U.S. Code and other rules and regulations where applicable; 5 U.S.C. 301; 31 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in the Administrative Operations Information System of the U.S. Secret Service are as follows: (a) Disclosure to those officers and employees of the Secret Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) To maintain administrative control of equipment assigned to Secret Service employees; (d) Referral of information to U.S. Treasury, GAO, OMB, GSA, Department of Justice and other Federal, state, and local governments regarding purchases, contracts, and anticipated purchases and contracts of the Secret Service; (e) To provide administrative services for the Secret Service and maintain administrative records as required by law; (f) To use in the adjudication of any claim for or against the Secret Service; (g) Referral to individuals, contractors, vendors, etc., for the purpose of inquiries relating to or confirmation of orders and purchases; (h) Records maintained in the Administrative Operations Information System indicating a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, may be referred to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; (i) Disclosures in the course of presenting evidence to a court, magistrate or administrative tribunal and disclosures to opposing counsel in the course of discovery proceedings for the purpose of enforcing, or prosecuting, a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto; (j) Disclosures to Federal, state or local agencies maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit; (k) Disclosures to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (l) For additional routine uses see Appendix AA.

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

Storage: Records comprising the Administrative Operations Information System are contained in file folders located in Headquar-

ters, 1800 G Street, N.W., Washington, D.C. 20223, and in Secret Service field offices (see United States Secret Service Appendix A).

Retrievability: The Administrative Operations Information System is indexed alphabetically by name either in a master index file system or on microfilm. Access to the physical files containing records is by class code number obtained from the alphabetized name indices.

Safeguards: (1) The file jackets and indices containing the records comprising the Administrative Operations Information System located at the U.S. Secret Service Headquarters are secured by alarms and other internal security devices in locked rooms with guards on duty on an around the clock basis. Access is available only to employees responsible for records management and operational employees who have a need for such information, each of whom holds a top secret security clearance; (2) The file jackets and the master file indices comprising the Administrative Operations Information System in Secret Service field offices are located in locked filing cabinets and in locked rooms when Secret Service employees are not on duty. Access to the system is limited to employees of the Secret Service holding top secret security clearances.

Retention and disposal: The file jackets and master indices comprising the Administrative Operations Information System are retained indefinitely. Disposal is by burning or shredding.

System manager(s) and address: Assistant Director, Office of Administration, U.S. Secret Service, 1800 G Street, N.W., Washington, D.C. 20223.

Notification procedure: Any individual who wishes to present a request as to whether this system contains records pertaining to him should address his inquiry to: Staff Assistant, Freedom of Information & Privacy Acts, U.S. Secret Service, 1800 G Street, N.W., Room 908, Washington, D.C. 20223.

Record access procedures: Any individual wishing to obtain information on the procedures for gaining access to and contesting records should contact: Staff Assistant, Freedom of Information & Privacy Acts, U.S. Secret Service, 1800 G Street, N.W., Room 908, Washington, D.C. 20223.

Contesting record procedures: See access above.

Record source categories: (a) Individuals who are presently or were Secret Service employees; (b) Individuals, corporations, companies, contractors, etc., previously engaged or presently engaged in business with the Secret Service; (c) Claimants.

Treasury/USSS 00.002

System name: Treasury/USSS Criminal Investigation Information System.

System location: (a) United States Secret Service, 1800 G Street, N.W., Washington, D.C. 20223. (b) Components of the Criminal Investigation Information System are geographically dispersed throughout Secret Service field offices. (See below United States Secret Service Appendix A listing the addresses of Secret Service field offices). (c) Treasury Security Force, Room 1044—Main Treasury Building, Washington, D.C.

Categories of individuals covered by the system: (a) Individuals who have been or are currently the subject of a criminal investigation by the U.S. Secret Service in connection with the performance by that agency of its authorized criminal investigative functions; (b) Individuals who are payees, registered owners or endorsers of stolen or lost obligations and other securities of the United States; (c) Individuals who are witnesses, complainants, informants, suspects, defendants, fugitives, released prisoners, correspondents, organized crime figures, and victims of crimes who have been identified by the Secret Service in the conduct of criminal investigations or by information supplied by other law enforcement agencies, government units, and the general public.

Categories of records in the system: (a) Records containing information compiled for the purpose of identifying individual criminal offenders and alleged offenders and consisting only of identifying data and notations of arrest, the nature and disposition of criminal charges, sentencing, confinement, release, and parole and probation status; (b) Records containing information compiled for the purpose of a criminal investigation, including reports of informants and investigators, and associated with an identifiable individual; (c) Records containing reports identifiable with an individual compiled at various stages of the process of enforcement of criminal laws from arrest or indictment through release from supervision; (d)

Records containing investigatory material compiled for law enforcement purposes including but not limited to, handwriting exemplars; laboratory analyses of inks and papers; handwriting analyses; petitions for the remission of forfeitures; notice of non-receipt of treasury drafts; affidavits of forged endorsements; opinions of the examiner of questioned documents; certificates by owners of U.S. registered securities concerning forged requests for payments or assignments; applications for relief on account of loss, theft, or destruction of U.S. Savings Bonds or checks; photographic reproductions of obligations and other securities of the United States; contraband items; claims against the United States for the proceeds of government checks and bonds; and reports necessary for the settlement of check and bond claims.

Authority for maintenance of the system: The criminal investigation authority of the U.S. Secret Service is contained in 18 U.S.C. 3056 and Treasury Department Orders transferring investigative and security functions to the U.S. Secret Service by virtue of the authority vested in the Secretary of the Treasury pursuant to Reorganization Plan Number 26 of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in the Criminal Investigation Information System of the U.S. Secret Service are as follows: (a) Disclosure to those officers and employees of the Secret Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Referral to Federal, state, and local governments, foreign and domestic, having prosecutive and civil law enforcement functions for use by attorneys, magistrates, and judges; and parole and probation authorities for the purpose of prosecuting, sentencing, and determining the parole and probation status of criminal offenders or suspected criminal offenders; (d) Referral to personnel of other Federal, state and local law enforcement agencies, foreign and domestic, for the purpose of developing information on subjects involved in Secret Service criminal investigations and assisting other law enforcement agencies in the investigation and prosecution of violations of the criminal laws which those agencies are responsible for enforcing; (e) Referral to personnel of Federal, state, and local governmental agencies, where such referral is considered reasonably necessary for the purpose of furthering Secret Service efforts to investigate the activities of and apprehend criminal offenders and suspected criminal offenders; (f) Referral to personnel of Federal, state, and local governmental agencies, foreign and domestic, where there is a showing of reasonable necessity to obtain such information to accomplish a valid law enforcement purpose; (g) Referral to employees and officials of financial and commercial business firms and to private individuals of identifying information pertaining to actual or suspected criminal offenders where such referral is considered reasonably necessary for the purpose of furthering Secret Service efforts to investigate the activities of and apprehend criminal offenders and suspected criminal offenders; (h) Records maintained in the Criminal Investigation Information System indicating a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, may be referred to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; (i) Disclosures in the course of presenting evidence to a court, magistrate or administrative tribunal and disclosures to opposing counsel in the course of discovery proceedings for the purpose of enforcing, or prosecuting, a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto; (j) Disclosures to Federal, state or local agencies maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit; (k) Disclosures to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary

to the requesting agency's decision on the matter; (l) Disclosures of information relating to criminal and civil proceedings to the news media in accordance with the guidelines contained in 28 C.F.R. 50.2; (m) For additional routine uses see Appendix AA.

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

Storage: All records comprising the Criminal Investigation Information System of the U.S. Secret Service are contained in file jackets located at Headquarters, U.S. Secret Service, 1800 G Street, N.W., Washington, D.C. and/or in file jackets located in Secret Service field offices geographically dispersed throughout the United States, Puerto Rico and one foreign country. (See below, United States Secret Service Appendix A.)

Components of the Criminal Investigation Information System may be located in the Office of the Treasury Security Force, Main Treasury Building, Washington, D.C. Portions of the indices and information contained in the records are programmed into a computer maintained at Headquarters, U.S. Secret Service, 1800 G Street, N.W., Washington, D.C.

Retrievability: The Criminal Investigation Information System of the U.S. Secret Service is indexed alphabetically by name at Headquarters, in the field master and computerized indices. Access to the physical files containing records is by case number obtained from the alphabetized name indices.

Safeguards: (1) The field jackets and indices containing the records comprising the Criminal Investigation Information System located at the U.S. Secret Service Headquarters are secured by alarms, and other internal security devices, in locked rooms with guards on duty on an around-the-clock basis. Access to the records is available only to employees responsible for records management and operational employees with a need to know, each of whom have top secret security clearances; (2) The file jackets and the master field indices comprising the Criminal Investigation Information System in Secret Service Field Offices and the Treasury Security Force are located in locked filing cabinets and in locked rooms when Secret Service employees are not on duty. Access to the system is limited to employees of the Secret Service and the Treasury Security Force holding top secret security clearances.

Retention and disposal: The retention schedule for records comprising the Criminal Investigation Information System is as follows: (1) All Judicial cases, 20 years; (2) Non-judicial criminal investigative cases (except non-judicial check and bond cases), 10 years; (3) Non-judicial check claim and bond forgery cases, 5 years; (4) Administrative files of an investigative nature, 5 years; (5) All other files and records the disposition of which is not otherwise specified, 5 years; (6) Investigations for other districts, 2 years; (7) Receipts for counterfeits and contraband, 2 years; (8) Investigation Control Forms, Indefinite; (9) Arrest History Forms, Indefinite; (10) Disposal of records contained in the Criminal Investigation Information System is by burning.

System manager(s) and address: Assistant Director, Office of Investigations, U.S. Secret Service, 1800 G Street, N.W., Washington, D.C. 20223.

Notification procedure: In accordance with the provisions of 5 U.S.C. 552a(j) and (k), the Director of the U.S. Secret Service proposes to exempt the Criminal Investigation Information System from compliance with the provisions of 5 U.S.C. 552a(e)(4)(G).

Record access procedures: In accordance with the provisions of 5 U.S.C. 552a(j) and (k), the Director of the U.S. Secret Service proposes to exempt the Criminal Investigation Information System from compliance with the provisions of 5 U.S.C. 552a(e)(4)(H).

Contesting record procedures: See access above.

Record source categories: In accordance with the provisions of 5 U.S.C. 552a(j) and (k) the Director of the U.S. Secret Service proposes to exempt the Criminal Investigation Information System from compliance with the provisions of 5 U.S.C. 552a(e)(4)(I).

Systems exempted from certain provisions of the act: In accordance with the provisions of 5 U.S.C. 552a(j) and (k) the Director of the U.S. Secret Service proposes to exempt the Criminal Investigation Information System from compliance with certain provisions of 5 U.S.C. 552a elsewhere in the Federal Register.

Treasury/USSS 00.003

System name: Treasury/USSS—Financial Management Information System.

System location: (a) U.S. Secret Service, 1800 G Street, N.W., Washington, D.C. 20223; (b) Components of the Financial Management Information System are geographically dispersed throughout Secret Service field offices. (See below United States Secret Service, Appendix A listing the addresses of Secret Service field offices); (c) Executive Protective Service, 1310 L Street, N.W., Room 210, Washington, D.C. 20005; (d) Treasury Security Force, Room 1044, Main Treasury Building, Washington, D.C. 20220; (e) Protective Support Division, U.S. Secret Service, 1310 L Street, N.W., Suite 400, Washington, D.C. 20005; (f) Presidential Protective Division, U.S. Secret Service, Room 1, E.O.B., 17th & Pennsylvania Avenue, N.W., Washington, D.C. 20500; (g) Vice Presidential Protective Division, U.S. Secret Service, Room 295, Executive Office Building, Washington, D.C. 20500; (h) Foreign Dignitary Protective Division, U.S. Secret Service, 1310 L Street, N.W., Washington, D.C. 20005; (i) Eisenhower Protective Division, U.S. Secret Service, Room 206, Post Office Building, Gettysburg, Pennsylvania 17325; (j) Johnson Protective Division, U.S. Secret Service, P.O. Box 927, Stonewall, Texas 78671; (k) Kennedy Protective Division, U.S. Secret Service, 1040 Fifth Avenue, New York, New York 10028; (l) Truman Protective Division, U.S. Secret Service, 224 North Delaware, Independence, Missouri 64051; (m) Nixon Protective Division, U.S. Secret Service, U.S. Coast Guard Station, San Clemente, California 92672; (n) Technical Security Division, Room 14, Executive Office Building, Washington, D.C. 20500.

Categories of individuals covered by the system: (a) Individuals who are now, or were previously, Secret Service employees; (b) Individuals, contractors, vendors, etc., who are presently doing business with or previously did business with the Secret Service; (c) Individuals who are involved in or were previously involved in tort claims with the Secret Service; (d) Individuals who are or previously were involved in payments (accounts receivable) with the Secret Service; (e) Individuals who have been recipients of awards.

Categories of records in the system: (a) Records containing information compiled for the purpose of pay, travel, property damage, expenses incurred other than travel, and retirement annuities and taxes; (b) Records containing information of accounts receivable and payable, involving Secret Service employees and other persons; (c) Records containing information of tort claims dealing with Secret Service property, concerning payment and accounts receivable; (d) Records containing information on the expenditures, anticipated expenditures, and budget studies of the Secret Service; (e) Records of time and attendance of work.

Authority for maintenance of the system: The Financial Management Authority of the U.S. Secret Service is contained in various Executive Orders, Treasury Orders and delegations, Title 7 of the General Accounting Office Policy and Procedure Manual for Guidance of Federal Agencies and other rules and regulations and fiscal procedures where applicable; 5 U.S.C. 301; 31 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in the Financial Management Information System are as follows: (a) Referral to the Internal Revenue Service, U.S. Treasury, GAO, Civil Service and other Federal agencies dealing with the payment and collection of monies concerning Secret Service employees; (b) Referral to the Internal Revenue Service, U.S. Treasury Department, Civil Service, GAO and other Federal agencies dealing with the payment, collection and audit of monies concerning persons who have financial dealings with the Secret Service; (c) To establish a means of budget projections and studies for anticipated expenses to be incurred; to record the actual expenses claimed; to analyze any unliquidated obligations at the end of the fiscal year; (d) To establish a means of responding to questions by Secret Service employees regarding their financial dealings; (e) To establish and maintain a means of gaining statistical information needed to answer inquiries from other Federal, state and local governments and Congress; (f) To establish a reporting system to Treasury, Office of Management & Budget and the General Accounting Office of Secret Service expenditures; (g) To establish a means of payments to contractors and vendors for purchases made by Secret Service; (h) Disclosure to those officers and employees of the Secret Service and the Department of the Treasury who have a need for the records in the performance of their duties; (i) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552); (j) Records maintained in the Financial Management Information System indicating a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or

by regulation, rule or order issued pursuant thereto, may be referred to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; (k) Disclosures in the course of presenting evidence to a court, magistrate or administrative tribunal and disclosures to opposing counsel in the course of discovery proceedings for the purpose of enforcing, or prosecuting, a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto; (l) Disclosures to Federal, state or local agencies maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit; (m) Disclosures to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (n) For additional routine uses see Appendix AA.

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

Storage: All records comprising the Financial Management Information System of the U.S. Secret Service are contained in files and/or microfilm located at Headquarters, Washington, D.C., Secret Service field offices geographically dispersed throughout the United States, Puerto Rico, and one foreign country, (see location section of this notice and United States Secret Service Appendix A), and Secret Service Protective Divisions. Portions of the indices and information contained in the Financial Management Information System are programmed into a computer maintained at Headquarters, U.S. Secret Service, 1800 G Street, N.W., Washington, D.C.

Retrievability: The Financial Management Information System is indexed by name and/or numbers in the Headquarters office and by name only in the U.S. Secret Service field offices and protective divisions. Access to the physical files containing records is by number and/or name. Access to the information stored in the computer is also by name and/or number.

Safeguards: (1) The file jackets, indices and computer containing the record systems located at U.S. Secret Service Headquarters are secured by alarms and other internal security devices in locked rooms with guards on duty on a 24 hour basis; (2) Access to the records is available only to employees responsible for records management and operational employees who have a need for such information, each of whom hold a top secret security clearance; (3) The file jackets and/or indices comprising the Financial Management Information System in U.S. Secret Service field offices and protective divisions are located in locked filing cabinets and in locked rooms when Secret Service employees are not on duty. Access is limited to employees of the Secret Service holding top secret security clearances.

Retention and disposal: The retention schedule for records comprising the Financial Management Information System are as follows: (1) Financial Management Division automated accounting systems, Paris Field Office file and paid files are retained for six years; (2) Accounts receivable systems maintained for four years unless they are not liquidated; (3) Systems for holiday, overtime hour and other pay adjustments, enter on duty information, resignations, retirements, reassignments, etc., are held indefinitely; (4) Records on personnel actions, leave, change of station, bonds, health benefits and insurance policies, bank deposits, allotments, etc., are held for six months. Disposal of records contained in the Financial Management Information System is by burning.

System manager(s) and address: Assistant Director, Office of Administration, 1800 G Street, N.W., Washington, D.C. 20223.

Notification procedure: Any individual who wishes to present a request as to whether this system contains a record pertaining to him should address his inquiry to: Staff Assistant, Freedom of Information and Privacy Acts, U.S. Secret Service, 1800 G Street, N.W., Room 908, Washington, D.C. 20223.

Record access procedures: Any individual wishing to obtain information on the procedures for gaining access to and contesting

records should contact: Staff Assistant, Freedom of Information and Privacy Acts, U.S. Secret Service, 1800 G Street, N.W., Room 908, Washington, D.C. 20223.

Contesting record procedures: See access above.

Record source categories: (a) Individuals who are presently or were previously Secret Service employees; (b) Individuals who are presently or were service contractors or suppliers with the Secret Service; (c) Individuals who are presently or were previously involved in tort claims with the Secret Service; (d) Individuals who are presently or were previously involved in collections and disbursement with the Secret Service; (e) Internal Revenue Service; (f) Surviving spouse of deceased personnel.

Treasury/USSS 00.004

System name: Freedom of Information Request System—Treasury/USSS.

System location: United States Secret Service, 1800 G Street, N.W., Washington, D.C. 20223.

Categories of individuals covered by the system: Individuals or organizations who have requested information under the Freedom of Information Act.

Categories of records in the system: (a) Correspondence relating to requests for information; (b) Documents relevant to appeals and law suits under the Freedom of Information Act.

Authority for maintenance of the system: The authority of the U.S. Secret Service is contained in 5 U.S.C. 552, Freedom of Information Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure to those officers and employees of the Secret Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) The system is maintained to insure the efficient processing of requests made pursuant to the Freedom of Information Act; (d) Records maintained in the Freedom of Information System indicating a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, may be referred to the appropriate agency, whether Federal, state local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; (e) Disclosures in the course of presenting evidence to a court, magistrate or administrative tribunal and disclosures to opposing counsel in the course of discovery proceedings for the purpose of enforcing, or prosecuting, a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto; (f) For additional routine uses see Appendix AA.

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

Storage: Records comprising the Freedom of Information Request System are maintained in file jackets located at Headquarters, U.S. Secret Service, 1800 G Street, N.W., Washington, D.C. 20223.

Retrievability: The file jackets and indices containing the records comprising the Freedom of Information Request System are indexed alphabetically.

Safeguards: The file jackets and indices containing the records comprising the Freedom of Information Request System are located at U.S. Secret Service Headquarters, and are secured in locked filing cabinets in locked rooms, with guards on duty on an around-the-clock basis. Access to the records is available only to employees responsible for the management of the system and operational employees who have a need for such information, each of whom have a top secret security clearance.

Retention and disposal: All files and indices are held indefinitely. Disposal is by burning.

System manager(s) and address: Staff Assistant, Office of Administration, U.S. Secret Service, 1800 G Street, N.W., Room 508, Washington, D.C. 20223.

Notification procedure: Any individual who wishes to present a request as to whether this system contains records pertaining to him should address his inquiry to: Staff Assistant, Freedom of Information and Privacy Acts, U.S. Secret Service, 1800 G Street, N.W., Room 908, Washington, D.C. 20223.

Record access procedures: Any individual wishing to obtain information on the procedures for gaining access to and contesting records should contact: Staff Assistant, Freedom of Information & Privacy Acts, U.S. Secret Service, 1800 G Street, N.W., Room 908, Washington, D.C. 20223.

Contesting record procedures: See access above.

Record source categories: Individuals or organizations requesting information pursuant to the Freedom of Information Act.

Treasury/USSS 00.005

System name: Treasury/USSS—Legal Counsel Record System.

System location: Office of Legal Counsel, United States Secret Service, 1800 G Street, N.W., Washington, D.C. 20223.

Categories of individuals covered by the system: (a) Individuals who have filed administrative claims involving an employee of the U.S. Secret Service; (b) Any individual who is involved in litigation against the U.S. Secret Service; (c) Individuals who have filed a petition for remission of forfeiture of equipment that was seized from them during an investigation and/or arrest by the U.S. Secret Service.

Categories of records in the system: (a) Copies of administrative claims involving employees of the U.S. Secret Service, responses and legal proceedings in those cases where litigation is involved in administrative claims; (b) Any type of legal document, including complaints, summaries, and litigation reports that are prepared for the Department of Justice at their request; (c) Petitions for remission of forfeiture of seized equipment; (d) Records concerning requests for information regarding the use of reproductions of obligations of the United States including bonds, checks, coins, coupons, currencies (U.S. and foreign), fractional notes, postage stamps (U.S. and foreign), postal money orders, and postmarks.

Authority for maintenance of the system: 18 U.S.C. 3056; 28 U.S.C. 2672 (Federal Tort Claims Act); 18 U.S.C. 471-509.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in the Legal Counsel Record System are as follows: (a) Disclosure to those officers and employees of the Secret Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Administrative claims may be routinely sent to the Department of Justice to the Attorneys who will represent the Secret Service in any possible litigation. The purpose of sending administrative claims to these attorneys is to assist them in preparation of litigation involving the Secret Service; (d) Legal records are routinely used in preparation for litigation proceedings against the U.S. Secret Service. Litigation reports are routinely sent to the Department of Justice at their request for assistance in preparation of the litigation proceedings. The purpose of such referrals is to assist the Dept. of Justice in the preparation of litigation concerning the U.S. Secret Service; (e) All routine uses for petitions for remission of forfeiture of seized equipment are within the agency; (f) Files concerning requests for information regarding the use of reproductions of Government obligations are used in responding to general requests from the public or for requests for interpretation of legality with the Department of Justice and Postal authorities; (g) Records maintained in the Legal Counsel Record System indicating a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, may be referred to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; (h) Disclosures in the course of presenting evidence to a court, magistrate or administrative tribunal and disclosures to opposing counsel in the course of discovery proceedings for the purpose of enforcing, or prosecuting, a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto; (i) Disclosures to Federal, state or local agencies maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit; (j) Disclosures to a Federal agency in response to its

request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (k) For additional routine uses see Appendix AA.

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

Storage: Records comprising the Legal Counsel Record System of the U.S. Secret Service are contained in file jackets located in the Office of Legal Counsel, United States Secret Service, 1800 G Street, N.W., Washington, D.C. 20223.

Retrievability: The Legal Counsel Record System is indexed chronologically for administrative claims, petitions for remission and requests for information regarding reproductions. Access to the physical files containing litigation records is by an alphabetized listing of the case names.

Safeguards: The file jackets containing records comprising the Legal Counsel Record System located at U.S. Secret Service Headquarters, Office of Legal Counsel, are secured in a locked room with guards on duty on an around the clock basis. Access to the records is available only to employees responsible for record management and operational employees who have a need for such information, each of whom holds a top secret security clearance.

Retention and disposal: The retention schedule of records comprising the Legal Counsel Record System is as follows: (1) All judicial case records are retained for a period of 20 years; (2) Administrative claims, petitions for remission, and requests for information are retained indefinitely. Any disposal is by shredding and/or burning.

System manager(s) and address: Legal Counsel, U.S. Secret Service, 1800 G Street, N.W., Room 842, Washington, D.C. 20223.

Notification procedure: Any individual who wishes to present a request as to whether the system contains records pertaining to him should address his inquiry to: Staff Assistant, Freedom of Information and Privacy Acts, U.S. Secret Service, 1800 G Street, N.W., Room 908, Washington, D.C. 20223.

Record access procedures: Any individual wishing to obtain information on the procedures for gaining access to and contesting records should contact: Staff Assistant, Freedom of Information and Privacy Acts, U.S. Secret Service, 1800 G Street, N.W., Room 908, Washington, D.C. 20223.

Contesting record procedures: See access above.

Record source categories: (a) Administrative claims are filed by those individuals who believe that they have a claim against the U.S. Secret Service; (b) Individuals who are involved in legal proceedings against the U.S. Secret Service. All litigation reports are initiated by Office of Legal Counsel, U.S. Secret Service; (c) Individuals and organizations who have petitioned for remission of forfeiture of seized equipments; (d) Requests for information regarding the use of reproductions from Secret Service field offices, the general public, and from professional organizations.

Treasury/USSS 00.006

System name: Non Criminal Investigation Information System—Treasury/USSS.

System location: (a) United States Secret Service, 1800 G Street, N.W., Washington, D.C. 20223; (b) Office of Inspection, U.S. Secret Service, Edison Building, Suite 654, 1900 Pennsylvania Avenue, N.W., Washington, D.C. 20226; (c) Components of the Non-Criminal Investigation Information System are geographically dispersed throughout Secret Service field offices in the United States, Puerto Rico, and one foreign country. (See below, United States Secret Service Appendix A, listing the addresses of Secret Service field offices).

Categories of individuals covered by the system: (a) Individuals who are applicants for employment with the U.S. Secret Service and other bureaus of the Department of the Treasury; (b) Individuals who are employees of the U.S. Secret Service and other bureaus of the Department of the Treasury holding security clearances granting access to classified documents and records; (c) Individuals who have filed administrative claims with the Secret Service and other bureaus of the Department of the Treasury under the Federal Tort Claims Act or who have been involved in automobile accidents or other incidents involving employees of the Secret Service and other bureaus of the Department of the Treasury

resulting in tort claims against such individuals; (d) Individuals involved in investigations required in the administration of the Government Losses in Shipment Act, the Gold Reserve Act, and the Silver Purchase Act; (e) Individuals who are employees of the Secret Service and other bureaus of the Department of the Treasury who have been accused of misconduct in the performance of their duties, or who have been the subject of a complaint involving the performance of their official functions; (f) Individuals who are the subject of investigations or supply information to investigative agents conducting special investigations relating to the performance by the Secret Service of its statutory and regulatory functions.

Categories of records in the system: (a) Record containing investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or access to classified information; (b) Records containing investigatory material compiled for law enforcement purposes, including but not limited to, reports of investigators relating to claims under the Federal Tort Claims Act; Government Losses in Shipment Act; the Gold Reserve Act and the Silver Purchase Act; and employee misconduct or malfeasance; (c) Records containing reports or statement of investigators, witnesses, complainants, claimants and correspondents associated with identifiable individuals.

Authority for maintenance of the system: The non-criminal investigative authority of the U.S. Secret Service is contained in 18 U.S.C. 3056; Executive Order 10450 and Treasury Order 82 (revised January 17, 1973); and Treasury Order 173-1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in the Non-Criminal Investigation Information System are as follows: (a) Disclosure to those officers and employees of the Secret Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Referral to the Department of Justice and other Federal agencies for administrative, civil, or other legal proceedings to be used by personnel officials, attorneys, administrative law officers, and judges; (d) Referral to personnel of other Federal, state and local governmental agencies, foreign and domestic, for the purpose of developing or confirming information on individuals involved in non-criminal investigations conducted by the Secret Service; (e) Referral to personnel of private institutions and to private individuals for the purpose of confirming and/or determining suitability, eligibility, or qualifications for Federal civilian employment or access to classified information; and for the purposes of furthering the efforts of the Secret Service to investigate the activities of individuals related to or involved in non-criminal civil and administrative investigations; (f) Referral to another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for the purpose of determining suitability, eligibility, or qualifications for employment with or access to classified information in such other agency or instrumentality; (g) Records maintained in the Non-Criminal Investigation Information System indicating a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, may be referred to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; (h) Disclosures in the course of presenting evidence to a court, magistrate or administrative tribunal and disclosures to opposing counsel in the course of discovery proceedings for the purpose of enforcing, or prosecuting, a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto; (i) Disclosures to Federal, state or local agencies maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit; (j) Disclosures to a Federal agency in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the

matter; (k) Disclosures of information relating to civil proceedings to the news media in accordance with the guidelines contained in 28 C.F.R. 50.2; (l) for additional routine uses see Appendix AA.

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

Storage: Records comprising the Non-Criminal Investigation Information System of the U.S. Secret Service are contained in file jackets located at Headquarters, U.S. Secret Service, 1800 G Street, N.W., Washington, D.C. and/or in file jackets located in the Office of Inspection, Edison Building, 1900 Pennsylvania Avenue, N.W., Washington, D.C. and in Secret Service field offices geographically dispersed throughout the United States, Puerto Rico, and one foreign country. (See Location Section of this notice and United States Secret Service Appendix A.) Portions of these indices and information contained in the Non-Criminal Investigation System are programmed into a computer maintained at Headquarters, U.S. Secret Service, 1800 G Street, N.W., Washington, D.C.

Retrievability: The Non-Criminal Investigation Information System is indexed alphabetically by name in the Headquarters, Inspection, field master, and computerized indices. Access to the physical files containing records is by case number obtained from the alphabetized name indices.

Safeguards: (1) The file jackets and indices containing the records comprising the Non-Criminal Investigation Information System located at U.S. Secret Service Headquarters and the Office of Inspection are secured by alarms and other internal security devices in locked rooms with guards on duty on an around-the-clock basis. Access to the records is available only to employees responsible for record management and operational employees who have a need for such information, each of whom holds a top secret security clearance; (2) The file jackets and the master field indices comprising the Non-Criminal Investigation Information System in Secret Service field offices are located in locked filing cabinets and in locked rooms when Secret Service employees are not on duty. Access to the system is limited to employees of the Secret Service holding top secret security clearances.

Retention and disposal: The retention schedule for records comprising the Non-Criminal Investigation Information System is as follows: (1) All judicial case records are retained for a period of twenty years; (2) Applicant security and background investigation records of Secret Service employees are retained for thirty years after retirement or separation of the employee from Secret Service employment; (3) Applicant investigation records relating to employees of Bureaus of the Treasury Department other than the Secret Service, are retained for three years; (4) All other records, the disposition of which are not otherwise specified, are retained for five (5) years. Disposal of records contained in the Non-Criminal Investigation Information System is by burning.

System manager(s) and address: Assistant Director, Office of Investigations, 1800 G Street, N.W., Washington, D.C. 20223.

Notification procedure: In accordance with the provisions of 5 U.S.C. 552 a (k), the Director of the U.S. Secret Service proposes to exempt the Non-Criminal Investigation Information System from compliance with the provisions of 5 U.S.C. 552 a (e) (4) (G).

Record access procedures: In accordance with the provisions of 5 U.S.C. 552 a (k), the Director of the U.S. Secret Service proposes to exempt the Non-Criminal Investigation Information System from compliance with the provision of 5 U.S.C. 552 a (e) (4) (H).

Contesting record procedures: See access above.

Record source categories: In accordance with the provisions of 5 U.S.C. 552 a (k), the Director of the U.S. Secret Service proposes to exempt the Non-Criminal Investigation Information System from compliance with the provisions of 5 U.S.C. 552 a (e) (4) (I).

Systems exempted from certain provisions of the act: In accordance with the provisions of 5 U.S.C. 552a(j) and (k), the Director of the U.S. Secret Service proposes to exempt the Non-Criminal Investigation Information System from compliance with certain provisions of 5 U.S.C. 552a—elsewhere in the Federal Register.

Treasury/USSS 00.007

System name: Protection Information System—Treasury/USSS.

System location: (a) United States Secret Service, 1800 G Street, N.W., Washington, D.C. 20223. (b) Presidential Protective Division, U.S. Secret Service, Room 1, E.O.B., 17th & Pennsylvania Avenue, N.W., Washington, D.C. 20500. (c) Vice Presidential Protection Division, U.S. Secret Service, Room 295, Executive Office

Building, Washington, D.C. 20500. (d) Foreign Dignitary Protective Division, U.S. Secret Service, 1310 L Street, N.W., Washington, D.C. 20005. (e) Protective Support Division, U.S. Secret Service, 1310 L Street, N.W., Suite 400, Washington, D.C. 20005. (f) Eisenhower Protective Division, U.S. Secret Service, Room 206, Post Office Building, Gettysburg, Pennsylvania 17325. (g) Johnson Protective Division, U.S. Secret Service, P.O. Box 927, Stonewall, Texas 78671. (h) Kennedy Protective Division, U.S. Secret Service, 1040 Fifth Avenue, New York, New York 10028. (i) Truman Protective Division, U.S. Secret Service, 224 North Delaware, Independence, Missouri 64051. (j) Nixon Protective Division, U.S. Secret Service, U.S. Coast Guard Station, San Clemente, California 92672. (k) Executive Protective Service, Room 210, 1310 L Street, N.W., Washington, D.C. 20005. (l) Treasury Security Force, Room 1040, Main Treasury Building, Washington, D.C. 20220. (m) Technical Security Division, Room 14, Executive Office Building, Washington, D.C. 20500. (n) Components of the Protection Information System are geographically dispersed throughout Secret Service field offices. (See below, United States Secret Service Appendix A, listing the addresses of Secret Service field offices).

Categories of individuals covered by the system: (a) Individuals who have been or are currently the subject of a criminal investigation by the U.S. Secret Service or another law enforcement agency for the violation of certain criminal statutes relating to the protection of persons or the security of properties; (b) Individuals who are the subjects of investigative records and reports supplied to the Secret Service by Federal, state, and local law enforcement agencies, foreign and domestic; other governmental agencies; private institutions and individuals for evaluation by the Secret Service in connection with the performance by that agency of its authorized protective functions; (c) Individuals who are the subjects of non-criminal protective and background investigations by the Secret Service and other law enforcement agencies where the evaluation of such individuals, in accordance with criteria established by the Secret Service, indicates a need for such investigations; (d) Individuals who are granted ingress and egress to areas secured by the Secret Service, the Executive Protective Service, or to areas in close proximity to persons protected by the Secret Service, including but not limited to invitees, passholders, tradesmen, law enforcement, maintenance and service personnel; (e) Individuals who have attempted or solicited unauthorized entry into areas secured by the Secret Service; individuals who have sought an audience or contact with persons protected by the Secret Service or who have been involved in incidents or events which relate to the protective functions of the Secret Service; (f) Individuals who are witnesses, protectees, complainants, informants, suspects, defendants, fugitives, released prisoners, and correspondents who have been identified by the Secret Service or from information supplied by other law enforcement agencies, governmental units, private institutions, and members of the general public in connection with the performance by the Secret Service of its authorized protective functions.

Categories of records in the system: (a) Records containing information compiled for the purpose of identifying individual criminal offenders and alleged offenders and consisting only of identifying data and notations of arrest, the nature and disposition of criminal charges, sentencing, confinement, release, and parole and probation status; (b) Records containing information compiled for the purpose of a criminal investigation, including reports of informants and investigators, and associated with an identifiable individual; (c) Records containing reports relative to an individual compiled at various stages of the process of enforcement of certain criminal laws from arrest or indictment through release from supervision; (d) Records containing information supplied by other Federal, state, and local law enforcement agencies, foreign and domestic; other governmental agencies; private institutions and persons concerning individuals who, because of their activities, personality traits, criminal or mental history, or history of social deviancy, may be of interest to the Secret Service in connection with the performance by that agency of its protective functions; (e) Records containing information compiled for the purpose of identifying and evaluating individuals who may constitute a threat to the safety of persons or security of areas protected by the Secret Service, and/or the Executive Protective Service; (f) Records containing information relating to incidents and events, such as attempted intrusions into secured areas, or activities of mentally disturbed persons demonstrating an unusual or abnormal interest in persons protected by the Secret Service; (g) Records containing information compiled for the purpose of background investigations of individuals, including but not limited to, passholders, tradesmen, maintenance and service

personnel who have access to areas secured by or who may be in close proximity to persons protected by the Secret Service and/or the Executive Protective Service; (h) Records containing correspondence, records of telephone calls, visits to and efforts to contact persons protected by the Secret Service by certain individuals who, according to criteria established by the Secret Service, are considered to be of protective interest.

Authority for maintenance of the system: The protective authority of the U.S. Secret Service is contained in 18 U.S.C. 3056 and Section 1 of Public Law 90-331. Criminal Investigations relating to protection, such as threats or unauthorized entry (18 U.S.C. 871; 18 U.S.C. 1751), are authorized by 18 U.S.C. 3056. The protective and security authority of the Executive Protective Service is contained in 3 U.S.C. 202 and of the Treasury Security Force in Treasury Orders issued by the Secretary of the Treasury pursuant to the provisions of Reorganization Plan Number 26 of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in the Protective Information System of the U.S. Secret Service are as follows: (a) Disclosures to those officers and employees of the Secret Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosures required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) Referral to the Department of Justice and other Federal, state and local governmental agencies having a prosecutive function for the use of attorneys, magistrates, and judges; and parole and probation authorities for the purpose of prosecuting, sentencing, and determining the parole and probation status of criminal offenders or suspected criminal offenders; and for civil and other proceedings involving Secret Service and Executive Protective Service protective functions; (d) Referral to personnel of other Federal state and local law enforcement agencies, foreign and domestic, for the purpose of developing information on subjects involved in Secret Service protective investigations and evaluations and for the purpose of protective intelligence briefings of personnel of other law enforcement and governmental agencies assisting the U.S. Secret Service in the performance of its protective functions; (e) Referral to personnel of Federal, state, and local governmental agencies, foreign and domestic, where such referrals are considered reasonably necessary for the purpose of furthering Secret Service efforts to investigate the activities of those persons considered to be of protective interest; (f) Referral to personnel of Federal, state, and local law enforcement agencies and other governmental agencies, foreign and domestic, where there is a showing of a reasonable need to accomplish a valid enforcement purpose; (g) Referral to personnel of private institutions and to private individuals of identifying information pertaining to actual or suspected criminal offenders or other individuals considered to be of protective interest for the purpose of furthering Secret Service efforts to evaluate the danger such individuals pose to persons protected by that agency; (h) Records maintained in the Protection Information System indicating a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, may be referred to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; (i) Disclosures in the course of presenting evidence to a court, magistrate or administrative tribunal and disclosures to opposing counsel in the course of discovery proceedings for the purpose of enforcing, or prosecuting, a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto; (j) Disclosures to Federal, state or local agencies maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit; (k) Disclosures to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (l) Disclosures of information relating to criminal and civil proceedings to the news

media in accordance with the guidelines contained in 28 C.F.R. 50.2; (m) For additional routine uses see Appendix AA.

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

Storage: Records comprising the Protection Information System of the U.S. Secret Service are contained in file jackets located at Headquarters, U.S. Secret Service, 1800 G Street, N.W., Washington, D.C. or in file jackets located in the offices of various protective units of Secret Service; the Technical Security Division; and in Secret Service field offices geographically dispersed throughout the United States, Puerto Rico, and one foreign country. (see Location Section of this notice and United States Secret Service Appendix A.) Components of the Protection Information System are located in the office of the Executive Protective Service, 1310 L Street, N.W., Washington, D.C. and in the office of the Treasury Security Force, Main Treasury Building, Washington, D.C. Portions of the indices and information contained in the Protective Information System are programmed into a computer maintained at Headquarters, U.S. Secret Service, 1800 G Street, N.W., Washington, D.C.

Retrievability: The Protective Information System is indexed alphabetically by name in the Headquarters, field master, protective units and computerized indices. Access to the physical files containing records is by case number obtained from the alphabetized name indices.

Safeguards: (1) The file jackets and indices containing the records comprising the Protection Information System located at the U.S. Secret Service Headquarters, in the protective units, the Executive Protective Service, the Treasury Security Force, and the Technical Security Division of the Secret Service are secured by alarms and other internal security devices in locked rooms with guards on duty on an around-the-clock basis. Access to the records is available only to employees responsible for record management and operational employees who have a need for such information, each of whom holds a top secret security clearance. (2) The file jackets and the master field indices comprising the Protective Information System in Secret Service field offices are located in locked filing cabinets and in locked rooms when Secret Service employees are not on duty. Access to the system is limited to employees of the Secret Service holding top secret security clearances.

Retention and disposal: The retention schedule for records comprising the Protection Information System is as follows: (1) All judicial case records are retained for a period of twenty years. In cases where checkups are being made or quarterly investigations are conducted in protective intelligence cases, the retention period is computed from the date of the final checkup or quarterly investigation. In the event of a protective intelligence subject's death, the file is destroyed immediately. Otherwise the quarterly investigative files are maintained for a period of twenty years; (2) All other protective intelligence case records including protective surveys and nonjudicial protective intelligence cases are retained for a period of five years; (3) Administrative records on all types of protective activities are retained for a period of ten years; (4) Disposal of records contained in the Protective Information System is by burning.

System manager(s) and address: Assistant Director, Office of Protective Intelligence, U.S. Secret Service, 1800 G Street, N.W., Washington, D.C. 20223.

Notification procedure: In accordance with the provisions of 5 U.S.C. 552a(j) and (k) the Director of the U.S. Secret Service proposes to exempt the Protection Information System from compliance with the provisions of 5 U.S.C. 552a(e) (4) (G).

Record access procedures: In accordance with the provisions of 5 U.S.C. 552a(j) and (k) the Director of the U.S. Secret Service proposes to exempt the Protection Information System from compliance with the provisions of 5 U.S.C. 552a(e) (4) (H).

Contesting record procedures: See access above.

Record source categories: In accordance with the provisions of 5 U.S.C. 552a(j) and (k) the Director of the U.S. Secret Service proposes to exempt the Protection Information System from compliance with the provisions of 5 U.S.C. 552a(e) (4) (I).

Systems exempted from certain provisions of the act: In accordance with the provisions of 5 U.S.C. 552a(j) and (k), the Director of the U.S. Secret Service proposes to exempt the Protection Information System from compliance with certain provisions of 5 U.S.C. 552a elsewhere in the Federal Register.

Treasury/USSS 00.008

System name: Public Affairs Record System—Treasury/USSS.

System location: U.S. Secret Service, 1800 G Street, N.W., Washington, D.C. 20223.

Categories of individuals covered by the system: (a) Persons who are private citizens who correspond requesting information relating to the Secret Service; (b) Persons who are members of the news media, authors and publishers requesting information about the Secret Service; (c) Members of Congress who make inquiries with the Secret Service; (d) Persons who are recipients of the Director's Honor Award, who have received recognition from or assisted the Secret Service.

Categories of records in the system: (a) Records of inquiries received from the general public, the communication media and the press relative to Secret Service activities; (b) Records of awards presented by the Secret Service; (c) Records of Congressional inquiries and correspondence.

Authority for maintenance of the system: 18 U.S.C. 3056 and Treasury Department Order Number 173-3, dated October 29, 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in the Public Affairs Record System are as follows: (a) To maintain a record of responses made to the general public, the news media, members of Congress, and other individuals who correspond with the Service; (b) To maintain a record of awards and honors given by the Secret Service and to establish statistical information on these awards and honors; (c) Disclosure to those officers and employees of the Secret Service and the Department of the Treasury who have a need for the records in the performance of their duties; (d) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552); (e) Records maintained in the Public Affairs Records System indicating a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, may be referred to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; (f) Disclosures in the course of presenting evidence to a court, magistrate or administrative tribunal and disclosures to opposing counsel in the course of discovery proceedings for the purpose of enforcing, or prosecuting, a violation or potential violation of law, whether civil, criminal or regulatory in nature and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto; (g) Disclosures to Federal, state or local agencies maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit; (h) Disclosures to Federal agencies, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. (i) For additional routine uses see Appendix AA.

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

Storage: Records comprising the Public Affairs Record System are maintained in file folders located at U.S. Secret Service, Headquarters, 1800 G Street, N.W., Washington, D.C. 20223.

Retrievability: Records of the Public Affairs Record System are filed alphabetically and chronologically. Access is by name and/or date.

Safeguards: The files containing the Public Affairs Record System are located at U.S. Secret Service Headquarters, and are secured in locked filing cabinets in locked rooms, with guards on duty on an around-the-clock basis. Access to the records is available only to employees responsible for management of the system and operational employees who have a need for such information, each of whom holds a top secret security clearance.

Retention and disposal: Records in this system are currently maintained indefinitely.

System manager(s) and address: Assistant to the Director, Office of Public Affairs, U.S. Secret Service, 1800 G Street, N.W., Washington, D.C. 20223.

Notification procedure: Any individual who wishes to present a request as to whether this system contains records pertaining to him should address his inquiry to: Staff Assistant, Freedom of Information and Privacy Acts, U.S. Secret Service, 1800 G Street, N.W., Room 908, Washington, D.C. 20223.

Record access procedures: Any individual wishing to obtain information on the procedure for gaining access to and contesting records should contact: Staff Assistant, Freedom of Information & Privacy Acts, U.S. Secret Service, 1800 G Street, N.W., Room 908, Washington, D.C. 20223.

Contesting record procedures: See access above.

Record source categories: (a) The general public, the news media and members of Congress who correspond with the Service; (b) Persons who have received awards or honors from the Secret Service.

Treasury/USSS 00.009

System name: Training Information System—Treasury/USSS.

System location: (a) U.S. Secret Service, Training Division, 1717 H Street, N.W., Washington, D.C. 20223. (b) Treasury Security Force, Main Treasury Building, 1500 Pennsylvania Avenue, N.W., Washington, D.C. 20220. (c) Beltsville Training Center, Beltsville, Maryland 20705.

Categories of individuals covered by the system: (a) Individuals who are now or were Secret Service employees, officers of the Executive Protective Service or the Treasury Security Force.

Categories of records in the system: Records containing the type and dates of training programs of the U.S. Secret Service employees, officers of the Executive Protective Service or the Treasury Security Force.

Authority for maintenance of the system: 18 U.S.C. 3056 is the statute that establishes Secret Service criminal and protective jurisdiction and training is conducted pursuant to that statute and in accordance with Treasury and Civil Service Regulations relating to training.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses of the records contained in the Training Information System are as follows: (a) Disclosure to those officers and employees of the Secret Service and the Department of the Treasury who have a need for the records in the performance of their duties; (b) Disclosure required in the administration of the Freedom of Information Act (5 U.S.C. 552); (c) The system is maintained to assist in performing administrative functions of the Training Division and is used to prepare class directories, class rosters, program evaluation reports and statistical reports, and maintain records of performance; (d) For additional routine uses see Appendix AA.

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

Storage: Records comprising the Training Information System are maintained on cards at the Secret Service Training Division, 1717 H Street, N.W., Washington, D.C., Main Treasury Building, 1500 Pennsylvania Avenue, N.W., and Beltsville Training Center, Beltsville, Maryland.

Retrievability: Records of the Training Information System are filed alphabetically and access to the record card is by name.

Safeguards: The Training Information System record cards located at the U.S. Secret Service Training Divisions are secured in locked rooms with alarms when Secret Service employees are not on duty. Access to the records is available only to employees responsible for management of the records and operational employees who have a need for such information, each of whom hold a top secret security clearance.

Retention and disposal: Records in this System are currently maintained indefinitely.

System manager(s) and address: Assistant to the Director, Office of Training, U.S. Secret Service, 1717 H Street, N.W., Washington, D.C. 20223.

Notification procedure: Any individual who wishes to present a request as to whether this system contains records pertaining to him should address his inquiry to: Staff Assistant, Freedom of Information & Privacy Acts, U.S. Secret Service, 1800 G Street, N.W., Room 908, Washington, D.C. 20223.

Record access procedures: Any individual wishing to obtain information on the procedures for gaining access to and contesting records should contact: Staff Assistant, Freedom of Information &

Privacy Acts, U.S. Secret Service, 1800 G Street, N.W., Room 908, Washington, D.C. 20223.

Contesting record procedures: See access above.

Record source categories: (a) Individuals who are now or were Secret Service employees, officers of the Executive Protective Service and the Treasury Security Force officers; (b) Individuals from other Federal, state and local law enforcement agencies.

Appendix A—

U.S. Secret Service field offices

Federal Office Building, 517 Gold Avenue, S.W., Albuquerque, New Mexico 87103, 505-766-3336.
601 Rockwell Avenue, Cleveland, Ohio 44114, 216-522-4365.
Equitable Building, 100 Peachtree Street, N.E., Atlanta, Georgia 30301, 404-526-6111.
950 South Stadium Road, Columbia, South Carolina 29201, 803-765-5446.
Federal Office Building, 300 East 8th Street, Austin, Texas 78701, 512-397-5103.
85 Marconi Boulevard, Columbus, Ohio 43215, 614-469-7370.
Federal Office Building, 31 Hopkins Plaza, Baltimore, Maryland 20201, 301-962-2200.
1100 Commerce Street, Dallas, Texas 75202, 214-749-3461.
66 Bagby Drive, Birmingham, Alabama 35209, 205-325-3144.
1660 Lincoln Street, Denver, Colorado 80203, 303-837-3027.
575 Technology Square, Cambridge, Massachusetts 02139, 617-223-2728.
Federal Building & U.S. Courthouse, Detroit, Michigan 48226, 313-226-6400.
Federal Building, 111 West Huron Street, Buffalo, New York 14202, 716-842-3542.
511 East San Antonio Street, El Paso, Texas 79901, 915-543-7546.
New Federal Building, 500 Quarrier Street, Charleston, West Virginia 25301, 304-343-1316.
110 Michigan Avenue, N.W., Grand Rapids, Michigan 49502, 616-456-2276.
226 Skeens Building, 4530 Park Road, Charlotte, North Carolina 28209, 704-372-7491.
677 Ala Moana Boulevard, Honolulu, Hawaii 96813, 808-546-5637.
219 S. Dearborn Street, Chicago, Illinois 60604, 312-353-5431.
515 Rusk Street, Houston, Texas 77208, 713-226-5791.
Federal Office Building, 550 Main Street, Cincinnati, Ohio 45202, 513-684-3448.
46 E. Ohio Street, Indianapolis, Indiana 46204, 317-269-6444.
U.S. Post Office & Courthouse, Jackson, Mississippi 39205, 601-969-4436.
Post Office Building, Jacksonville, Florida 32201, 904-791-2777.
546 Carondelet Street, New Orleans, Louisiana 70190, 504-589-2219.
811 Grand Avenue, Kansas City, Missouri 64142, 816-374-5021.
6 World Trade Center, New York, New York 10048, 212-266-4400.
611 Gaines Street, Little Rock, Arkansas 72201, 501-378-6241.
Bank of Virginia Building, Norfolk, Virginia 23502, 804-441-6736.
312 North Spring Street, Los Angeles, California 90012, 213-688-4830.
210 Northwest Sixth Street, Oklahoma City, Oklahoma 73102, 405-231-4476.
Post Office Building, Louisville, Kentucky 40201, 502-582-5171.
215 North 17th Street, Omaha, Nebraska 68102, 402-221-4671.
167 North Main Street, Memphis, Tennessee 38103, 901-534-3568.
58 bis, Rue la Boetie, American Embassy, Paris 8, France, 265-7460.
5255 N.W. 87th Avenue, Miami, Florida 33161, 305-350-5961.
600 Arch Street, Philadelphia, Pennsylvania 19106, 215-627-6800.

517 East Wisconsin Avenue, Milwaukee, Wisconsin 53202, 414-224-3587.
3033 North Central Avenue, Phoenix, Arizona 85012, 602-261-3556.
110 South 4th Street, Minneapolis, Minnesota 55401, 612-725-2801.
1000 Liberty Avenue, Pittsburgh, Pennsylvania 15222, 412-644-3384.
107 Saint Francis Street, Mobile, Alabama 36602, 205-690-2851.
900 S.W., 5th Avenue, Portland, Oregon 97204, 503-221-2162.
801 Broadway, Nashville, Tennessee 37203, 615-749-5841.
Federal Building & U.S. Courthouse, Providence, Rhode Island 02901, 401-528-4462.
60 Evergreen Place, East Orange, New Jersey 07018, 201-645-2334.
400 North Eighth Street, Richmond, Virginia 23240, 804-782-2274.
205 Whitney Avenue, 3rd Floor, New Haven, Connecticut 06511, 203-432-2144.
650 Capitol Mall, Sacramento, California 95814, 916-449-2413.
1114 Market Street, St. Louis, Missouri 63101, 314-425-4238.
234 Summit Street, Toledo, Ohio 43604, 419-259-6434.
350 South Main Street, Salt Lake City, Utah 84101, 801-524-5910.
1900 Pennsylvania Avenue, N.W., Washington, D.C. 20226, 202-634-5100.
727 E. Durango, San Antonio, Texas 78206, 512-225-4277.
100 West "A" Street, San Diego, California 92101, 714-293-5640.
450 Golden Gate Avenue, San Francisco, California 94102, 415-556-6800.
255 Ponce de Leon Avenue, Hato Rey, Puerto Rico 00917, 809-622-0539.
Post Office Building, Washington & Linden Streets, Scranton, Pennsylvania 18501, 717-344-7333.
915 Second Avenue, Seattle, Washington 98174, 206-442-5495.
761 U.S. Courthouse, Spokane, Washington 99201, 509-456-2532.
600 East Monroe Street, Springfield, Illinois 62701, 217-527-4033.
Main Post Office Building, Syracuse, New York 13201, 315-473-6680.
1000 Ashley Drive, Tampa, Florida 33602, 813-228-2636.

Treasury/ATF 00.001

System name: Administrative Record System-Treasury/ATF.

System location: Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Components of this record system are geographically dispersed throughout the Bureau's field offices. For nearest office location, see addresses listed Appendix E-1.

Categories of individuals covered by the system: (1) Present employees of the Bureau of ATF. (2) Former employees of the Bureau of ATF. (3) Claimants against the Bureau of ATF.

Categories of records in the system: (1) Accident Report—non-vehicle (2) Accident Report—Vehicle (3) Accountability records for Government property (4) Credit card purchases (5) Disability reports (6) Fatality reports (7) Motor pool records (8) Injury reports (9) Motor vehicle operator's records. (10) Chief Counsel and Regional Counsel memoranda and opinions.

Authority for maintenance of the system: (1) Federal Claims Collection Act (2) Federal Employees Compensation Act (3) Federal Property and Administration Services Act of 1949 as amended. (4) Federal Tort Claims Act (5) Military Personnel and Federal Employees Claim Act (6) Occupational Safety and Health Act of 1970 (7) Small Claims Act. (8) 5 U.S.C. 1302, 3301, 3302.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The purpose of this system is to provide administrative services for the Bureau; to maintain administrative records as required by law or regulation; and to be used in the adjudication of any claims for or against the Bureau. When required or authorized by statute, regulation, or executive order, information in the record system is made available to members of the public or employees of other government agencies.

A record in this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information if necessary to obtain information relevant to an agency decision concerning the letting of a contract, grant or other benefit.

A record in this system of records may be disclosed to a federal agency, in response to its request, in connection with the letting of a contract, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

A record in this system may be disclosed as a routine use to Officers and employees of the Department of the Treasury who have a need for the record in the performance of their duties; Local, state and Federal law enforcement agencies; Local, state and Federal regulatory agencies; Members of the public, employees of other Governmental agencies, or members of news media (on a case by case basis where determination that such disclosure would be in accordance with guidelines set forth under 28 C.F.R. Part 50.2; 5 U.S.C. 552 and 552a, and would not compromise enforcement of laws administered by Bureau of Alcohol, Tobacco and Firearms). For additional routine uses, see Appendix AA.

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

Storage: Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers.

Retrievability: Records are retrievable by name of individual.

Safeguards: Direct access restricted to personnel in Department of the Treasury in the performance of their duty. Transmitted to routine users on a need to know basis or where a right to access is established, and to others upon verification of the substance and propriety of the request. Stored in lockable metal file cabinets in rooms locked during non-duty hours.

Retention and disposal: Records are retained in accordance with General Services Administration General Records Schedules Numbers 1 through 20 and Bureau of Alcohol, Tobacco and Firearms records control schedules numbers 101 and 201 and disposed of by shredding or burning.

System manager(s) and address: Chief, Administrative Services Division Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Notification procedure: Inquiries should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Requests may be delivered personally to Room 4402, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Record access procedures: Requests for access to records made by mail should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C.

Requests may be delivered personally to Room 4402, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Appeals of determinations refusing amendment of records should be addressed to: Privacy Act Appeal, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Appeals may be delivered personally to Room 4402, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C.

Contesting record procedures: See Access above.

Record source categories: (1) Administrative records. (2) Claimants. (3) Doctors. (4) Employee records. (5) Fiscal records. (6) Former employees of the Bureau of ATF. (7) Former employers. (8) General Services Administration. (9) Individuals who have information relevant to claims. (10) Inspections records. (11) Internal Investigation reports. (12) Police reports. (13) Present employees of the Bureau of ATF. (14) Supervisors. (15) Witnesses.

Treasury/ATF 00.002

System name: Correspondence Record System—Treasury/ATF.

System location: Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226. Components of this record system are geographically dispersed throughout the Bureau's field offices. For nearest office location, see address listed Appendix E-1.

Categories of individuals covered by the system: (1) Persons who correspond with the Bureau requesting information relating to Bureau personnel. (2) Persons who correspond with the Bureau requesting information relating to Bureau activities. (3) Persons who correspond with the Bureau requesting rulings, interpretations, or technical and scientific matters of a general nature. (4) Persons who correspond with others and whose correspondence is referred to ATF for response. (5) Persons referred to in correspondence with the Bureau. (6) Authors and publishers of technical and scientific matters relating to Bureau activities.

Categories of records in the system: Correspondence with individuals who contact the Bureau requesting information relating to Bureau personnel and/or activities, Chief Counsel and Regional Counsel memoranda and opinions.

Authority for maintenance of the system: 5 U.S.C. 301, E.O. 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The purpose of the system is to record the nature of responses made to general public; to maintain a record of responses to individuals who correspond with the Bureau. When required or authorized by statute, regulation, or Executive Order, information in the record system is made available to members of the public or employees of other Government agencies. A record in this system may be disclosed as a routine use to: officers and employees of the Department of the Treasury who have a need for the record in the performance of their duties, members of the public, employees of other governmental agencies, or members of the news media (on a case by case basis where determination that such disclosure would be in accordance with guidelines set out under 28 C.F.R. Part 50.2; 5 U.S.C. 552 and 552a, and would not compromise enforcement of laws administered by Bureau of Alcohol, Tobacco and Firearms). For additional routine uses, see Appendix AA.

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

Storage: Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers.

Retrievability: Records are retrieved by name, subject matter and date of correspondence.

Safeguards: Transmitted to routine users on a need to know basis. Stored in lockable file cabinets in rooms locked during non-duty hours.

Retention and disposal: Records are retained in accordance with General Services Administration General Records Schedules numbers 1 through 20 and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning.

System manager(s) and address: Assistant to the Director (Public Affairs) Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Notification procedure: Inquiries should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226. Requests may be delivered personally to Room 4402, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Record access procedures: Requests for access to records made by mail should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226. Requests may be delivered personally to Room 4402, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C.

Appeals of determinations refusing amendment of records should be addressed to: Privacy Act Appeal, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Appeals may be delivered personally to Room 4402, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C.

Contesting record procedures: See Access above.

Record source categories: Persons who correspond with the Bureau on general, technical or scientific matters.

Treasury/ATF 00.003

System name: Criminal Investigation Report System—Treasury/ATF.

System location: Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226. Components of this record system are geographically dispersed throughout Bureau of Alcohol, Tobacco and Firearms' field offices. For nearest location, see addresses listed Appendix E-1.

Categories of individuals covered by the system: (1) Criminal offenders or alleged criminal offenders acting alone or in concert with other individuals and suspects who have been or are under investigation for a violation or suspected violation of laws enforced by the Bureau. (2) Criminal offenders or alleged criminal offenders acting alone or in concert with individuals who have been referred to the Bureau of Alcohol, Tobacco and Firearms by other law enforcement agencies, governmental units and the general public. (3) Informants. (4) Persons who come to the attention of the Bureau in the conduct of criminal investigations. (5) Persons who have been convicted of a crime punishable by imprisonment for a term exceeding one year and who have applied for relief from disabilities under Federal law with respect to the acquisition, receipt, transfer, shipment, or possession of firearms and explosives and whose disability was incurred by reason of such conviction. (6) Victims of crimes. (7) Witnesses.

Categories of records in the system: (a) Records containing information compiled for the purpose of identifying individual criminal offenders and alleged offenders and consisting only of identifying data and notations of arrest, the nature and disposition of criminal charges, sentencing, confinement, release, and parole and probation status; (b) Records containing information compiled for the purpose of a criminal investigation, including reports of informants and investigators, and associated with an identifiable individual; (c) Records containing reports identifiable to an individual compiled at various stages of the process of enforcement of criminal laws from arrest or indictment through release from supervision; (d) Records compiled and maintained by the Bureau as generally described in (a), (b), and (c) above including the following: (1) Abandoned property reports. (2) ATF Criminal Investigation Reports (not resulting in formal prosecution reports). (3) ATF referrals to foreign, Federal, State, and local law enforcement agencies. (4) Chief and Regional Counsel opinions. (5) Contemporaneous investigative notes. (6) Criminal investigatory correspondence from and to foreign, Federal, State and local law enforcement agencies. (7) Criminal intelligence information on individuals suspected to be violating ATF laws and regulations. (8) Documentary proof of defendant's criminal record; identity; or lack of registration of N.F.A. (as amended) firearm(s). (9) FBI Criminal Record Reports. (10) Fingerprints and palmprints. (11) Fugitive arrest warrants. (12) Handwriting exemplars. (13) Index cards, violation and reputation. (14) Illicit liquor and raw material surveys. (15) Laboratory reports of evidence analysis. (16) Memoranda of expected testimony of witnesses. (17) Organized crime members violating or suspected of violating ATF laws. (18) Parole and pardon reports. (19) Personal histories (address, employment, social security number, financial background, physical descriptions, etc.). (20) Photographs. (21) Purchase of evidence records. (22) Records of electronic surveillance by ATF. (23) Records received in response to summons and subpoenas. (24) Reliefs from disability. (25) Reports of interview with witnesses. (26) Search warrants and affidavits for search warrants. (27) Seized property reports. (28) Significant criminals, armed and dangerous, firearms, explosives, liquor, and wagering. (29) Special agent's daily activity diary (accessible by date only). (30) State and local law enforcement criminal investigative reports. (31) Statements of defendants. (32) Statements of witnesses. (33) Summons and subpoenas issued pursuant to criminal investigations. (34) Voice prints. (35) Wagering tax suspected violators. (36) Warning and demand letters. (37) Criminal violation reports (a formal report compiling all or portions of the foregoing for prosecutive purposes).

Authority for maintenance of the system: (1) 26 U.S.C. Chapters 35 and 40. (2) 26 U.S.C. Chapters 51 and 52. (3) 26 U.S.C. Chapters 53, as amended. (4) 26 U.S.C. Chapters 61 through 80, as amended. (5) 27 U.S.C. Chapter 8, as amended. (Federal Alcohol Administration Act). (6) 18 U.S.C. Chapter 40. (7) 18 U.S.C. Chapter 44. (8) 18 U.S.C. Chapter 59. (9) 18 U.S.C. App. 1201-1203 (Title VII of the Omnibus Crime Control and Safe Streets Act of 1968, as amended by Title III of the Gun Control Act of 1968). (10) 22 U.S.C. section 414. (Mutual Security Act of 1954, as amended). (11) 5 U.S.C. sections 901 and 903. 5 U.S.C. App. (Reorganization Plan of 1950). Treasury Order 221. 5 U.S.C. section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The purpose of this system is to suppress traffic in illicit untaxed distilled spirits; to

enforce the Federal laws relating to the illegal possession and use of firearms, destructive devices, explosives, explosive materials, and wagering activities; and to assist Federal, State, local and foreign law enforcement agencies in reducing crime and violence. When required or authorized by statute, regulation, or Executive Order, information in the record system is made available to members of the public or employees of other Government agencies.

A record in this system may be disclosed as a routine use to: officers and employees of Department of the Treasury who have a need for the record in the performance of their duties; personnel of Department of Justice and other agencies, Federal, State, and local, foreign and domestic, having prosecutive and civil law enforcement functions; attorneys, magistrates, and judges; and parole and probation authorities for the purpose of prosecuting, sentencing and determining the parole and probation status of criminal offenders or suspected criminal offenders; Personnel of other Federal, State and local law enforcement agencies, foreign and domestic, for the purpose of developing information on subjects involved in Bureau criminal investigations and for assisting law enforcement agencies in the investigation and prosecution of violations of the criminal laws those agencies are responsible for enforcing; Personnel of Federal, State, and local governmental agencies, where such referral is considered reasonably necessary for the purpose of furthering Bureau efforts to investigate the activities of and apprehend criminal offenders and suspected criminal offenders; Personnel of Federal, State and local governmental agencies, foreign and domestic, where there is a showing of reasonable necessity to obtain such information to accomplish a valid law enforcement purpose; Employees and officials of financial and commercial business firms and private individuals for identification purposes pertaining to actual or suspected criminal offenders where it is considered reasonably necessary for the purpose of furthering Bureau efforts to investigate the activities of, and when appropriate, to apprehend, criminal offenders and suspected criminal offenders; Defense attorneys under Discovery Procedures; Members of the public, employees of other governmental agencies, or members of the news media (on a case by case basis where determination that such disclosure would be in accordance with guidelines set out under 28 C.F.R. Part 50.2; 5 U.S.C. 552, and 552a, and would not compromise enforcement of laws administered by Bureau of Alcohol, Tobacco and Firearms). For additional routine uses, see Appendix AA.

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

Storage: Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers. Records also stored on magnetic tape at ADP Division, Technical and Scientific Services Branch of Bureau Headquarters and at the IRS Data Center, Detroit, Michigan. Records are stored in on-line mass computer storage at San Diego, California. (Treasury Enforcement Communications System.)

Retrievability: Records are retrievable by name, date of birth, social security number, unique identifier, investigation number, serial number of firearm, or a combination of any of these; plus date and geographical location of incident giving rise to investigation.

Safeguards: Direct access restricted to personnel in Department of Treasury in the performance of their duty. Transmitted to routine users on a need to know basis and to others upon verification of the substance and propriety of the request. Stored in lockable file cabinets in rooms locked during non-duty hours.

Retention and disposal: Records are retained in accordance with General Services Administration General Records Schedules numbers 1 through 20 and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning. Records on tape or on-line mass storage are disposed of by degaussing.

System manager(s) and address: Assistant Director (Criminal Enforcement), Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Notification procedure: The Director of the Bureau of Alcohol, Tobacco and Firearms has exempted this system of records from compliance with the provisions of 5 U.S.C. 552a (e) (4) (G).

Record access procedures: The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempted from compliance with the provisions of 5 U.S.C. 552a (e) (4) (H).

Contesting record procedures: The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempted from compliance with the provisions of 5 U.S.C. 552a (e)(4)(H).

Record source categories: The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(I).

Systems exempted from certain provisions of the act: System exempted from certain provisions of the Act: Proposed to be exempted elsewhere in the Federal Register.

Treasury/ATF 00.004

System name: Fiscal Record System—Treasury/ATF.

System location: Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226. Components of this record system are geographically dispersed throughout the Bureau's field offices. For nearest office location, see addresses listed Appendix E-1.

Categories of individuals covered by the system: (1) Present employees. (2) Former employees. (3) Recipients of rewards. (4) Vendors furnishing goods and services to the Bureau.

Categories of records in the system: (1) Advance of Funds. (2) Agreements. (3) Contracts. (4) Designated Agents or recommended Designated Agents. (5) Designated timekeepers and alternates. (6) Employee pay records. (7) Purchase Orders. (8) Payment vouchers. (9) Time and attendance records. (10) Travel and moving vouchers. (11) Travel request and authorization. (12) Chief Counsel and Regional Counsel memoranda and opinions.

Authority for maintenance of the system: (1) 5 U.S.C. sections 901 and 903; 5 U.S.C. App. (Reorganization Plan No. 26 of 1950), Treasury Order 221; 5 U.S.C. section 301. (2) E.O. 6166 (amended).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The purpose of this system is to provide fiscal services to employees of the Bureau and former employees of the Bureau; to record fiscal information as required by law and regulations; to prevent unauthorized disclosures; to provide accountability for government funds. When required or authorized by statute, regulation, or Executive Order, information in the record system is made available to members of the public or employees of other government agencies.

A record in this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as the letting of a contract, grant or other benefit.

A record in this system of records may be disclosed to a federal agency, in response to its request, in connection with the letting of a contract, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

A record in this system may be disclosed as a routine use to: officers and employees of the Department of the Treasury who have a need for the record in the performance of their duties; Employee of the General Accounting Office for review; Vendors of contractual services to the Bureau; members of the public; employees of other governmental agencies; or members of news media (on a case by case basis where determination that such disclosure would be in accordance with guidelines set forth under 28 C.F.R. Part 50.2; 5 U.S.C. 552 and 552a, and would not compromise enforcement of laws administered by Bureau of Alcohol, Tobacco and Firearms); local, state and Federal law enforcement agencies; local, state and Federal regulatory agencies; for additional routine uses, see Appendix AA.

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

Storage: Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers. Records also stored on magnetic tape at the IRS Data Center, Detroit, Michigan.

Retrievability: Records are retrievable by name, date of birth, social security number, employee identification number, or a combination of any of these four.

Safeguards: Direct access restricted to personnel in Department of Treasury in the performance of their duty. Transmitted to routine users on a need to know basis or where a right to access is established, and to others upon verification of the substance and

propriety of the request. Stored in lockable file cabinets in rooms locked during non-duty hours.

Retention and disposal: Records are retained in accordance with General Services Administration General Records Schedules numbers 1 through 20 and Bureau of Alcohol, Tobacco and Firearms records Controls Schedules numbers 101 and 201 and disposed of by shredding or burning. Records stored on tapes, discs or in on-line mass storage, are disposed of by degaussing.

System manager(s) and address: Chief, Fiscal Division, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Notification procedure: Inquiries should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226. Requests may be delivered personally to Room 4402, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C.

Record access procedures: Requests for access to records made by mail should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226. Requests may be delivered personally to Room 4402, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C.

Appeals of determinations refusing amendment of records should be addressed to: Privacy Act Appeal, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226. Appeals may be delivered personally to Room 4402, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C.

Contesting record procedures: See Access above.

Record source categories: (1) Former employees of the Bureau of ATF. (2) IRS Data Center. (3) Present employees of the Bureau of ATF. (4) Surviving spouse of deceased personnel. (5) Vendors of necessary goods and services for operations of Bureau of ATF.

Treasury/ATF 00.005

System name: Freedom of Information Requests—Treasury/ATF.

System location: Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Categories of individuals covered by the system: Individuals requesting information.

Categories of records in the system: Correspondence pursuant to the Freedom of Information Act, internal processing documents and memoranda, referrals and copies of requested records, and Chief Counsel and Regional Counsel memoranda and opinions.

Authority for maintenance of the system: Freedom of Information Act, 5 U.S.C. 552.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For reporting requirements as required by the Act; to respond to other Department officials who request information regarding persons making a FOI request; evaluation purposes and determination of volume of requests received and the impact on the current workload; preparation of budget; disclosures in accordance with Freedom of Information Act, to other agencies when required for coordination of response or referral; to Department of Justice for defending law suits; to Congressional Committees; for additional routine uses see Appendix AA.

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

Storage: File folders.

Retrievability: By name of requester(s) and date of request.

Safeguards: Filed in filing cabinet and released only to individuals with legitimate right to review.

Retention and disposal: In accordance with the provisions of the Act and Departmental records management procedures.

System manager(s) and address: Assistant to the Director (Disclosure), Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Notification procedure: See system manager.

Record access procedures: See system manager.

Contesting record procedures: See system manager.

Record source categories: Individuals who make Freedom of Information Act requests. Federal officials responding to Freedom of Information Act requests and documents from official records.

Treasury/ATF 00.006

System name: Internal Security Record System—Treasury/ATF.

System location: Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Categories of individuals covered by the system: (1) Present employees of the Bureau of ATF. (2) Former employees of the Bureau of ATF. (3) Applicants for employment.

Categories of records in the system: (1) Records containing investigative material compiled for law enforcement purposes including reports relating to: (a) conduct of employees, (b) integrity of employees. (2) Records containing investigative material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or access to classified information including reports relating to security clearances of employees.

Authority for maintenance of the system: (1) 18 U.S.C. 201 (2) E.O. 10450 (3) E.O. 11222

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This system is used to assure the Bureau Director, the Department of the Treasury, and the public that the Bureau is taking strong and vigorous steps to maintain the highest standards of integrity, loyalty, conduct, and security among Bureau personnel. When a criminal investigation results in a compilation of information contained in this system, the information so compiled shall be transferred to the AT&F Criminal Investigation Report System and shall become a part of that system for all purposes of the Privacy Act of 1974.

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

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

A record in this system of records may be disclosed as a routine use to: officers and employees of the Department of the Treasury who have a need for the record in the performance of their duties; personnel of Department of Justice and other agencies, Federal, state, and local, foreign and domestic, having prosecutive and civil law enforcement functions; attorneys, magistrates, and judges; and parole and probation authorities for the purpose of prosecuting, sentencing, and determining the parole and probation status of criminal offenders or suspected criminal offenders; personnel of other Federal, state and local law enforcement agencies, foreign and domestic, for the purpose of developing information on subjects involved in Bureau criminal investigations and for assisting law enforcement agencies in the investigation and prosecution of violations of the criminal laws those agencies are responsible for enforcing; personnel of Federal, state and local governmental agencies, where such referral is considered reasonably necessary for the purpose of furthering Bureau efforts to investigate the activities of and apprehend criminal offenders and suspected criminal offenders; personnel of Federal, state and local governmental agencies, foreign and domestic, where there is a showing of reasonable necessity to obtain such information to accomplish a valid law enforcement purpose; employees and officials of financial and commercial business firms and private individuals for identification purposes pertaining to actual or suspected criminal offenders where it is considered reasonably necessary for the purpose of furthering Bureau efforts to investigate the activities of and apprehend criminal offenders and suspected criminal offenders; defense attorneys under Discovery Procedures; members of the public, employees of other governmental agencies, or members of the news media (on a case by case basis where determination that such disclosure would be in accordance with guidelines set out under 28 C.F.R. Part 50.2; 5 U.S.C. 552, and 552a, and would not compromise enforcement of laws administered by Bureau of Alcohol, Tobacco and Firearms). For additional routine uses, see Appendix AA.

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

Storage: Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Center.

Retrievability: Records are retrievable by name.

Safeguards: Direct access restricted to personnel in Department of the Treasury in the performance of their duty. Transmitted to routine users on a need to know basis and to others upon verification of the substance and propriety of the request. Stored in lockable metal file cabinets in rooms locked during non-duty hours.

Retention and disposal: Records are retained in accordance with General Services Administration General Records Schedules Numbers 1 through 20 and Bureau of Alcohol, Tobacco and Firearms records control schedules numbers 101 and 201 and disposed of by shredding or burning.

System manager(s) and address: Assistant Director, Inspection, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue N.W., Washington, D.C. 20226.

Notification procedure: The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e) (4) (G).

Record access procedures: The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e) (4) (H).

Contesting record procedures: See Access above.

Record source categories: (1) Employees of this Bureau. (2) Internal Investigative report forms. (3) witnesses. (4) informants. (5) Federal, State and local enforcement agencies. (6) Employers. (7) Educational institutions. (8) Credit agencies. (9) Neighbors. (10) References. (11) Professional Organizations. (12) other government agencies.

Systems exempted from certain provisions of the act: Proposed to be exempted elsewhere in the Federal Register.

Treasury/ATF 00.007

System name: Personnel Record System—Treasury/ATF.

System location: Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226. Components of this record system are geographically dispersed throughout the Bureau's field offices. For nearest office location, see addresses listed Appendix E-1.

Categories of individuals covered by the system: (1) Present Employees of the Bureau of ATF. (2) Former Employees of the Bureau of ATF. (3) Applicants for employment with ATF.

Categories of records in the system: (1) Allotment and Dues. (2) Annual Tax Reports. (3) Applicants for employment. (4) Applications for reassignment. (5) Awards, honors, and fellowship records. (6) Classification appeal records. (7) Death claim records. (8) Educational history. (9) Employee indebtedness records. (10) Employees qualified as Grievance Examiners. (11) Employee Suggestions. (12) Employee history. (13) Employee relations case file. (14) Equal employment opportunity case file. (15) Health maintenance records. (16) Insurance records. (17) Military history. (18) Occupational injuries, disabilities, and Worker's Compensation Records. (19) Official personnel folder. (20) Outside employment and identification numbers, business or professional records. (21) Outside employment. (22) Outside financial interests. (23) Overtime and/or Premium Pay records. (24) Performance evaluation records. (25) Personal history. (26) Pocket commission, badge number. (27) Position description records. (28) Promotion/Selection Certificates Records. (29) Property custody records. (30) Retirement records. (31) Security clearance records. (32) Statement of career goals. (33) Supervisory or managerial potential records. (34) Temporary assignments and details. (35) Time application reports and records. (36) Training record. (37) U.S. Savings Bond participation records. (38) Upward mobility applications. (39) Vehicle accidents. (40) Withholding tax records. (41) Work schedule records. (42) Chief Counsel and Regional Counsel memoranda and opinions.

Authority for maintenance of the system: (1) 5 U.S.C. Chapter 29, Subchapter II. (2) 5 U.S.C. Chapters 31 and 33. (3) 5 U.S.C. Chapter 43. (4) 5 U.S.C. Chapter 45. (5) 5 U.S.C. Chapter 51. (6) 5 U.S.C. Chapter 55, subchapter III. (7) 5 U.S.C. Chapter 61. (8) 5 U.S.C. Chapter 75. (9) 5 U.S.C. Chapter 83. (10) 5 U.S.C. Section 301. (11) 5 U.S.C. 4503. (12) 5 U.S.C. Section 5101—5115. (13) 5 U.S.C. Section 7151—7154. (14) 5 U.S.C. Section 7901. (15) P.L. 92—261 (Equal Employment Act of 1972). (16) P.L. 93—579. (17)

Federal Employees Compensation Act. (18) Occupational Safety and Health Act of 1970. (19) Executive Order 10561. (20) E.O. 11222. (21) E.O. 11478. (22) E.O. 11491.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The purpose of this system is to provide personnel services to employees of the Bureau, former employees of the Bureau, and applicants for employment with the Bureau; to record personnel information as required by law and regulations; to prevent unauthorized disclosures; provide identification information in accident or medical emergency situations. When required or authorized by statute, regulations, or executive order, information in the record system is made available to members of the public, news media or other governmental agencies.

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

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

A record in this system may be disclosed to the following as a routine use: (1) The Department of Labor; (2) Congressmen; (3) Equal Employment Opportunity Commission; (4) Members of the public, employees of other governmental agencies, or members of the news media (on a case by case basis where determination that such disclosure would be in accordance with guidelines set forth under 28 C.F.R. Part 50.2; 5 U.S.C. 552 and 552a, and would not compromise enforcement of laws administered by Bureau of Alcohol, Tobacco and Firearms); (5) Officers and employees of Department of the Treasury who have a need for the record in the performance of their duties; (6) Federal, state and local law enforcement agencies; (7) Federal, state and local regulatory agencies. For additional routine uses, see Appendix AA.

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

Storage: Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers. Records also stored on magnetic tape at the IRS Data Center, Detroit, Michigan. Records are stored in on-line mass computer storage at San Diego, California (Treasury Enforcement Communications System).

Retrievability: Records are retrievable by name, date of birth, social security number, employee identification number, or a combination of any of these four.

Safeguards: Direct access restricted to personnel in Department of Treasury in the performance of their duty. Transmitted to routine users on a need to know basis or where a right to access is established, and to others upon verification of the substance and propriety of the request. Stored in lockable file cabinets in rooms locked during non-duty hours.

Retention and disposal: Records are retained in accordance with General Services Administration General Records Schedules numbers 1 through 20 and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding, burning or by degaussing.

System manager(s) and address: Assistant Director (Administration), Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Notification procedure: The Director of the Bureau of Alcohol, Tobacco and Firearms has exempted this system of records from compliance with the provisions of 5 U.S.C. 552a (e) (4) (G).

Record access procedures: The Director of the Bureau of Alcohol, Tobacco and Firearms has exempted this system of records from compliance with the provisions of 5 U.S.C. 552a (e) (4) (H).

Contesting record procedures: Same as access above.

Record source categories: (1) Administrative Records. (2) Applicants for employment with Bureau. (3) Acquaintances. (4) Business and professional associates. (5) Creditors. (6) Criminal records. (7)

Educational institutions attended. (8) Employee records. (9) Equal Employment Opportunity Commission. (10) Financial institutions. (11) Fiscal records. (12) Former employees. (13) Former employers. (14) Inspection records. (15) Internal investigation reports. (16) Internal Revenue Service. (17) Military records. (18) Outside employers. (19) Physicians. (20) Police reports. (21) Position classification specialists. (22) Psychiatrists. (23) References. (24) Supervisors. (25) Training officers. (26) Unions, accredited. (27) U.S. Civil Service Commission. (28) Witnesses.

Treasury/ATF 00.008

System name:	Regulatory	Enforcement	Record
System—Treasury/ATF			

System location: Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226. Components of this system of records are also geographically dispersed throughout ATF's regional and field offices. For locations, see addresses of regional and field offices listed in Appendix E—1.

Categories of individuals covered by the system: (1) Individuals who have been issued permits or licenses, have filed applications with ATF, or have registered with ATF as: (a) Brewers; (b) Claimants for refund, abatement, credit, allowance or drawback of excise or special occupational taxes; (c) Collectors of firearms or ammunition; (d) Distillers, bonded warehousemen, rectifiers, or bottlers of distilled spirits; (e) Importers of firearms, ammunition or implements of war; (f) Importers or wholesalers of beer, wine or distilled spirits; distillers, rectifiers, bottlers, or warehousemen of distilled spirits; or wine producers; (g) Individuals engaged in wagering activities; (h) Individuals who produce, receive, blend, store or treat wine or distilled spirits for experimental or research purposes; (i) Individuals who establish experimental distilled spirits plants; (j) Limited retail dealers in beer or wine; (k) Liquor bottle manufacturers; (l) Manufacturers of stills; (m) Manufacturers, importers, or dealers of firearms or ammunition; (n) Manufacturers, importers, dealers, or users of explosive materials; (o) Manufacturers, proprietors of export warehouses or importers of tobacco products; (p) Nonbeverage drawback claimants; (q) Operators of pilot brewing plants; (r) Possessors of stills and related equipment; (s) Producers of wine for family use; (t) Proprietors of vinegar plants, fruit—flavor concentrate plants or class 6 bonded warehouses; (u) Proprietors of bonded wine cellars, bonded wineries, taxpaid wine bottling houses, or bonded wine warehouses; (v) Reprocessors or rebottlers of specially denatured spirits; (w) Retailers of beer, wine or distilled spirits; (x) Users of tax-free alcohol, dealers or users of specially denatured spirits, or recoverers of specially denatured or completely denatured spirits.

(2) Individuals who are employed by businesses engaged in the activities specified in paragraph 1 and who are officers, directors, holders of 10 percent or more of the outstanding stock, designated agents, or responsible persons. (3) Individuals who are not qualified to engage in any of the activities listed in paragraph 1, but who are assessed excise or special occupational taxes. (4) Individuals who submit Offers in Compromise.

Categories of records in the system: Records containing investigative material compiled for law enforcement purposes which may consist of the following: (1) Abstracts of offers in compromise. (2) Administrative law judge decisions. (3) Assessment records: (a) notices of proposed assessments; (b) notices of shortages or losses; (c) notices to IRS to assess taxes; (d) recommendation for assessments. (4) Claim records: (a) claims; (b) letters of claim rejection; (c) sample reports; (d) supporting data; (e) vouchers and schedules of payment. (5) Comments on proposed rulemakings. (6) Complaints from third parties. (7) Correspondence concerning records in this system and related matters. (8) Financial statements. (9) Inspection and investigation reports. (10) Joint demands on principals and sureties for payment of excise tax liabilities. (11) Letters of reprimand. (12) Lists of permittees and licensees. (13) Lists of officers, directors and principal stockholders. (14) Mailing lists and addressograph plates. (15) Notices of delinquent reports. (16) Offers in compromise. (17) Operation records: (a) operating reports; (b) reports of required inventories; (c) reports of thefts or losses of firearms; (d) reports of thefts of explosive materials; (e) transaction records; (f) transaction reports. (18) Orders of revocation, suspension or annulment of permits or licenses. (19) Regional and Chief Counsel opinions and memoranda. (20) Reports of violations. (21) Permit status records. (22) Qualifying records: (a) access authorizations; (b) advertisement records; (c) applications; (d) bonds; (e) business histories; (f) criminal records; (g) diagrams of premises; (h) educational histories; (i) employment histories; (j) environmental

records; (k) financial data; (l) formula approvals; (m) label approvals; (n) licenses; (o) notices; (p) permits; (q) personal references; (r) plant profiles; (s) plant capacities; (t) plans and plans; (u) registrations; (v) sample reports; (w) signature authorities; (x) special permissions and authorizations; (y) statements of process. (23) Show cause orders. (24) Tax records: (a) control cards relating to periodic payment and prepayment of taxes; (b) excise and special tax returns; (c) notices of tax discrepancy or adjustment.

Authority for maintenance of the system: (1) 26 U.S.C. 5172. (2) 26 U.S.C. 5271(b)(1). (3) 26 U.S.C. 5356. (4) 26 U.S.C. 5401. (5) 26 U.S.C. 5417. (6) 26 U.S.C. 5502(b). (7) 26 U.S.C. 5511(3). (8) 26 U.S.C. 5521(a). (9) 26 U.S.C. 5179(a). (10) 22 U.S.C. 204(c). (11) 26 U.S.C. 5105. (12) 26 U.S.C. 5275. (13) 26 U.S.C. 5301(b). (14) 26 U.S.C. 5132. (15) 26 U.S.C. 5042(a)(2). (16) 26 U.S.C. 7011. (17) 26 U.S.C. 5712. (18) 18 U.S.C. 923(a). (19) 18 U.S.C. 923(b). (20) 18 U.S.C. 843(a). (21) 22 U.S.C. 414. (22) 26 U.S.C. 4401(a). (23) 26 U.S.C. 6001. (24) 26 U.S.C. 6011(a). (25) 26 U.S.C. 5001. (26) 26 U.S.C. 5021-5023. (27) 26 U.S.C. 5041. (28) 26 U.S.C. 5051. (29) 26 U.S.C. 6201. (30) 26 U.S.C. 5008. (31) 26 U.S.C. 5044. (32) 26 U.S.C. 5056. (33) 26 U.S.C. 5705. (34) 26 U.S.C. 6423(b). (35) 26 U.S.C. 5009(a). (36) 26 U.S.C. 5006(a). (37) 26 U.S.C. 5055. (38) 26 U.S.C. 5062(c). (39) 26 U.S.C. 5106. (40) 26 U.S.C. 5131(c). (41) 26 U.S.C. 5064. (42) 26 U.S.C. 7122. (43) 27 U.S.C. 207. (44) 18 U.S.C. 843(d). (45) 18 U.S.C. 923(f). (46) 27 U.S.C. 204(e). (47) 26 U.S.C. 5312(a). (48) 26 U.S.C. 5042(a)(3). (49) Reorganization Act of 1949, 5 U.S.C. Sections 901 et seq.; Revenue Act of 1951, Section 616; Treasury Department Order 221 (37 F.R. 11696, June 19, 1972). (50) 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The purpose of this system is to determine suitability, eligibility or qualifications of individuals who are engaged or propose to engage in activities regulated by ATF; achieve compliance with laws under ATF's jurisdiction; assure full collection of revenue due from legal industries; eliminate commercial bribery, consumer deception and other improper trade practices in the distilled spirits, beer and wine industries; interact with Federal, state and local governmental agencies in the resolution of problems relating to industrial development, revenue protection, public health, ecology, and other areas of joint jurisdictional concern. When required or authorized by statute, regulation, or Executive Order, information in the record system is made available to members of the public or employees of other government agencies.

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

A record in this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the issuance of a license, grant or other benefit.

A record in this system of records may be disclosed to a federal agency, in responses to its request, in connection with the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. When an ATF criminal investigation results in compilation of information contained in this system of records, the information shall be transferred to the Treasury ATF-Criminal Investigation Report System and shall become part of that system for all purposes of the Privacy Act of 1974. A record in this system may be disclosed as a routine use to: Officers and employees of the Department of the Treasury who have a need for the record in the performance of their duties; Federal, State or local regulatory or law enforcement agencies in the performance of their duties on a need to know basis; Members of the public, employees of other Governmental agencies, or members of the news media (on a case by case basis where determination that such disclosure would be in accordance with guidelines set forth under 28 C.F.R. Part 50.2; 5 U.S.C. 552 and 552a; and would not compromise enforcement of laws administered by Bureau of Alcohol, Tobacco and Firearms). For additional routine uses, see Appendix AA.

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

Storage: Active records stored in file folders in filing cabinets; card forms in card filing cabinets; and on magnetic tapes or microfiche at IRS Service Centers, ATF Headquarters, or Department of the Treasury.

Retrievability: Records are retrievable by name, permit or license number, or by document locator number.

Safeguards: Direct access restricted to personnel in Department of Treasury in the performance of their duty. Transmitted to routine users on a need to know basis and others upon verification of the substance and propriety of the request. Stored in file cabinets in rooms locked during non-duty hours. Wagering records are maintained in safes or file cabinets which are locked at all times.

Retention and disposal: Records are retained in accordance with General Services Administration General Records Schedules numbers 1 through 20 and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding, burning or by degaussing.

System manager(s) and address: Assistant Director, Regulatory Enforcement, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Notification procedure: The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 522a (e) (4) (G).

Record access procedures: The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 522a (e) (4) (H).

Contesting record procedures: See Access above.

Record source categories: (1) Acquaintances. (2) Bureau Personnel. (3) Business and Professional Associates. (4) Creditors. (5) Criminal Records. (6) Financial Institutions. (7) Former Employers. (8) Internal Revenue Service. (9) Military Records. (10) Physicians. (11) Psychiatrists. (12) References. (13) Police Reports. (14) Witnesses. (15) Federal Law Enforcement Agencies. (16) State Law Enforcement Agencies. (17) Local Law Enforcement Agencies. (18) State Regulatory Agencies. (19) Federal Regulatory Agencies. (20) Local Regulatory Agencies. (21) Chief Counsel's Opinions. (22) Regional Counsel's Opinions. (23) Chief Counsel's Memoranda. (24) Regional Counsel's Memoranda. (25) Field Investigation Reports. (26) Third Parties.

Systems exempted from certain provisions of the act: Proposed to be exempted elsewhere in the Federal Register.

Treasury/ATF 00.009

System name: Technical and Scientific Services Record System—Treasury/ATF.

System location: Bureau of Alcohol, Tobacco, and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226. Components of this record system are geographically dispersed throughout Bureau of Alcohol, Tobacco and Firearms' field offices. For nearest location, see addresses listed Appendix E-1.

Categories of individuals covered by the system: (1) Applicants to register firearms under the National Firearms Act. (2) Applicants for Surplus Military Firearms under the Director of Civilian Marksmanship Program. (3) Importers of implements of war as defined under the Mutual Security Act of 1954. (4) Licensed importers registered under the Mutual Security Act of 1954. (5) Manufacturers of National Firearms Act who are exempt from payment of Special (Occupational) tax provisions. (6) Non-Bureau chemists certified to make analysis of alcoholic beverages. (7) Persons involved in explosives tagging and detection program. (8) Registered owners of National Firearms Act firearms. (9) Special (occupational) taxpayers as defined under title II of the Gun Control Act of 1968. (10) Victims of explosives. (11) Individuals involved in Government funded research projects.

Categories of records in the system: (1) Alterations of registered National Firearms Act firearms. (2) Applications for surplus military firearms. (3) Applications to register firearms and destructive devices under the National Firearms Act. (4) Applications to import articles on the U.S. Munitions list. (5) Blueprints. (6) Certifications of payment of Special (occupational) tax payments. (7) Changes of address for owner of firearms registered under the National Firearms Act. (8) Claims for erroneous Special (Occupational) taxes payments. (9) Descriptions of inventories. (10) Delinquency notices

regarding proof of importation of National Firearms Act Firearms. (11) Explosive reports. (12) Non-Bureau chemists' statements of qualification. (13) Patent information. (14) Registrations of firearms and destructive devices under the National Firearms Act. (15) Registration of war trophy firearms. (16) Requests and authorizations for temporary movement and/or temporary storage of National Firearms Act firearms. (17) Technical and scientific data. (18) Transaction records concerning National Firearms Act firearms. (19) Trade secrets. (20) U.S. Government contracts to manufacturers of National Firearms Act firearms. (21) Chief Counsel and Regional Counsel memoranda and opinions.

Authority for maintenance of the system: (1) 18 U.S.C. Chapter 40. (2) 18 U.S.C. Chapter 44. (3) 18 U.S.C. Section 3056. (4) 26 U.S.C., Sections 6001(a), 5001, 5008, 5009(a), 5006(a), 5021-5023, 5041, 5042(a)(2), 5051, 5053, 5056, 5062(c), 5705, 6201, 6423(b), 5105, 5106, 5131(c), 5132, 5172, 5172(b)(1), 5275, 5301(b), 5356, 5401, 5417, 5502(b), 5511(3), 5521(a), 5179(a), 5712, 7011. (5) 27 U.S.C. Sections 204(c), (6) 26 U.S.C. Chapter 35. (7) Executive Order 10973 as amended by Executive Order 11432.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The purpose of this system is to provide technical and scientific support and expertise to Criminal and Regulatory Enforcement activities of the Bureau; to other Federal, State, local and foreign law enforcement agencies; and to industries involved in activities regulated by the Bureau. When required or authorized by statute, regulation, or Executive Order, information in the record system is made available to members of the public or employees of other government agencies. When a criminal investigation results in a compilation of information contained in this system, the information so compiled shall be transferred to the ATF Criminal Investigation Report System and shall become a part of that system for all purposes of the Privacy Act of 1974.

In the event that a record in this system indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, these records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto. Records in this system may be disclosed as a routine use to: (1) Officers and employees of the Department of the Treasury who have a need for the record in the performance of their duties. (2) Federal law enforcement agencies. (3) State law enforcement agencies. (4) Local law enforcement agencies. (5) Foreign law enforcement agencies. (6) Industries involved in activities regulated by the Bureau. (7) Department of Defense. (8) Federal regulatory agencies. (9) State regulatory agencies. (10) Local regulatory agencies. (11) Members of the public, employees of other government agencies, or members of the news media (on a case by case basis where determination that such disclosure would be in accordance with guidelines set forth under 28 C.F.R. Part 50.2; 5 U.S.C. 552 and 552a, and would not compromise enforcement of laws administered by Bureau of Alcohol, Tobacco and Firearms). (12) Smithsonian Institution. (13) For additional routine uses, see Appendix AA.

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

Storage: Active records stored in file folders in filing cabinets; on 3 by 5 and 5 by 8 cards stored in card file cabinets; on microfilm reels; magnetic tape reels and discs; and on keypunch cards.

Retrievability: Records are retrievable by name, by unique identifier, control number, serial number of National Firearms Act firearms.

Safeguards: Stored in file cabinets locked during non-duty hours.

Retention and disposal: Records are retained in accordance with General Services Administration Records Schedules numbers 1 through 20 and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning. Records stored on tape discs or on-line mass storage are disposed of by degaussing.

System manager(s) and address: Assistant Director, Technical and Scientific Services, Bureau of Alcohol, Tobacco and Firearms, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20226.

Notification procedure: The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552 (e) (4) (G).

Record access procedures: The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e) (4) (H).

Contesting record procedures: See Access above.

Record source categories: (1) Individuals. (2) Companies. (3) Corporations. (4) Firearms Licensees. (5) Firearms Permittees. (6) Explosive Licensees. (7) Explosive Permittees. (8) Bureau personnel. (9) Federal law enforcement agencies. (10) State law enforcement agencies. (11) Local law enforcement agencies. (12) Foreign law enforcement agencies. (13) Federal Regulatory agencies. (14) State Regulatory agencies. (15) Local Regulatory agencies. (16) Non-Bureau Chemists.

Systems exempted from certain provisions of the act: Proposed to be exempted elsewhere in the Federal Register.

APPENDIX E-1

(List of geographically dispersed offices referred to in the "Location" sections of each system of records)

Regional Offices

Regional Director, Bureau of Alcohol, Tobacco and Firearms, 6 World Trade Center, Room 620 H, New York, New York 10048.

Regional Director, Bureau of Alcohol, Tobacco and Firearms, Room 300, 2 Penn Center, Philadelphia, Pennsylvania 19102.

Regional Director, Bureau of Alcohol, Tobacco and Firearms, Federal Office Building, Room 6503, 550 Main Street, Cincinnati, Ohio 45202.

Regional Director, Bureau of Alcohol, Tobacco and Firearms, Room 1502, 230 S. Dearborn Street, Chicago, Illinois 60604.

Regional Director, Bureau of Alcohol, Tobacco and Firearms, 3835 Northeast Expressway, Atlanta, Georgia 30340.

Regional Director, Bureau of Alcohol, Tobacco and Firearms, Room 345, Main Tower, 1200 Main Street Dallas, Texas 75202.

Regional Director, Bureau of Alcohol, Tobacco and Firearms, 525 Market Street, 34th Floor, San Francisco, California 94105.

CRIMINAL ENFORCEMENT OFFICES

Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Corner of Cambridge & New Sadbury Streets, BOSTON, MASSACHUSETTS 02203.

Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 32 N. Winoski Avenue, BURLINGTON, VERMONT 05401.

Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 323, 55 Pleasant Street, CONCORD, NEW HAMPSHIRE 03301.

Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, 450 Main Street, HARTFORD, CONNECTICUT 06101.

Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 205 Whitney Avenue, NEW HAVEN, CONNECTICUT 06511.

Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, U.S. Courthouse, 156 Federal Street, PORTLAND, MAINE 04112.

Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Howard Building, 10 Dorrance, PROVIDENCE, RHODE ISLAND 02903.

Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 346, SPRINGFIELD, MASSACHUSETTS 01103.

Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building—Room 212, 595 Main Street, WORCESTER, MASSACHUSETTS 01601.

Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 120 Church Street Station, NEW YORK, NEW YORK 10008.

Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building—Room 521, 111 W Huron Street, BUFFALO, NEW YORK 14202.

Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 271 Cadman Plaza E, BROOKLYN, NEW YORK 11202.

- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 114 Old Country Road, MINEOLA, NEW YORK 11501.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Office Building—Suite 411, Broadway and Clinton Avenue, ALBANY, NEW YORK 12201.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 208, Brinkerhoff & Margaret Street, PLATTSBURGH, NEW YORK 12901.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 95 Church Street, WHITE PLAINS, NEW YORK 10601.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, S Salina & Fayette Streets, SYRACUSE, NEW YORK 13202.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Room 204, 701 W Broad Street, FALLS CHURCH, VIRGINIA 22046.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Room 825, 31 Hopkins Plaza, BALTIMORE, MARYLAND 21201.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, 9th & King Streets, WILMINGTON, DELAWARE 19801.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 20 S Cameron Street, WINCHESTER, VIRGINIA 22601.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 2401 Morris Avenue, UNION, NEW JERSEY 07083.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Reutter Building, 3rd Floor, 840 Cooper Street, CAMDEN, NEW JERSEY 08102.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, U.S. Post Office Building, Room 209, TRENTON, NEW JERSEY 08608.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, U.S. Customs House, Second & Chestnut Streets, PHILADELPHIA, PENNSYLVANIA 19106.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Ansley Building, 1260 Old Easton Road, DOYLESTOWN, PENNSYLVANIA 18901.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 620, 228 Walnut Street, HARRISBURG, PENNSYLVANIA 17108.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Berks Title Building, Room 316, 6th & Washington Streets, READING, PENNSYLVANIA 19602.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, U.S. Courthouse, Room 104, Perry Square, ERIE, PENNSYLVANIA 16501.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 2104, 100 Liberty Avenue, PITTSBURGH, PENNSYLVANIA 15222.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 400 N 8th Street, RICHMOND, VIRGINIA 23219.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Post Office Building, Room 301, 700 Main Street, DANVILLE, VIRGINIA 24541.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 110 Piedmont Street, BRISTOL, VIRGINIA 24201.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Post Office Building, Room 215, E Market Street, CHARLOTTESVILLE, VIRGINIA 22901.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Tarkington Building, Room 203, 2600 Memorial Avenue, LYNCHBURG, VIRGINIA 24501.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Bank of Virginia Building, Room 210, 870 N Military Circle, NORFOLK, VIRGINIA 23502.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Atlantic Building, 3517 Brandon Avenue, ROANOKE, VIRGINIA 24018.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, U.S. Post Office Building, Room 304, 5th & Walnut Streets, CINCINNATI, OHIO 45202.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 3414, 500 Quarrier Street, CHARLESTON, WEST VIRGINIA 25301.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room B—303, BLUEFIELD, WEST VIRGINIA 24701.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Prichard Building, Rooms 423—424, Corner of 9th Street and 6th Avenue, HUNTINGTON, WEST VIRGINIA 25722.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, U.S. Post Office Building, Room 202, 6th and Gay Streets, PORTSMOUTH, OHIO 45662.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building & U.S. Courthouse, Room 427, Chaplin & 12th Streets, WHEELING, WEST VIRGINIA 26003.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 329, 1240 E 9th Street, CLEVELAND, OHIO 44199.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Court & Customs Building, Room 302, 1716 Spielbusch, TOLEDO, OHIO 43624.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Post Office Building, Room 329, YOUNGSTOWN, OHIO 44501.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 237, 85 Marconi Boulevard, COLUMBUS, OHIO 43215.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, U.S. Post Office & Courthouse Building, 118 W 3rd Street, DAYTON, OHIO 45402.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 371, 241 LaFayette Street, DETROIT, MICHIGAN 48231.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 600 Church Street, FLINT, MICHIGAN 48502.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building & Courthouse, Room 710, 110 Michigan NW, GRAND RAPIDS, MICHIGAN 49502.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Office Building, Room 872—D, 600 Federal Place, LOUISVILLE, KENTUCKY 40202.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Commonwealth of Kentucky Building, Room 107, 1844 Carter Street, ASHLAND, KENTUCKY 41101.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Post Office Building, Room 304, BOWLING GREEN, KENTUCKY 42101.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 133, 101 NW 7th Street, EVANSVILLE, INDIANA 47708.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Gettle Building, Rooms 707 & 708, 803 S Calhoun Street, FORT WAYNE, INDIANA 46802.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 21, HAMMOND, INDIANA 46325.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, U.S. Courthouse & Post Office Building, Room 507, INDIANAPOLIS, INDIANA 46204.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, U.S. Courthouse, Rooms 114—116, Barr & Limestone Streets, LEXINGTON, KENTUCKY 40501.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 4, PADUCAH, KENTUCKY 42001.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Town and Country Shopping Center, Williamson Road, PIKEVILLE, KENTUCKY 41501.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 304 S Pine Street, PINEVILLE, KENTUCKY 40977.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Security Building, Room 120, 207 W Mt. Vernon Street, SOMERSET, KENTUCKY 42501.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 2625 Butterfield Road, OAKBROOK, ILLINOIS 60521.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 35 E Wacker Drive, Room 1012, CHICAGO, ILLINOIS 60601.

- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 600 E Monroe, Room 213, SPRINGFIELD, ILLINOIS 62705.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 100 Northeast Building, Room 402, PEORIA, ILLINOIS 61601.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 1705 Second Avenue, Cleveland Building, Room 424, ROCK ISLAND, ILLINOIS 61201.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 941 U.S. Courthouse, 811 Grand Avenue, KANSAS CITY, MISSOURI 64102.
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- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, New Federal Building, Room 527, 1210 Walnut Street, DES MOINES, IOWA 50309.
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- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Graham Building, Room 10, 211 W Broadway, WICHITA, KANSAS 67201.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 309 N Jefferson Street, Room 205, SPRINGFIELD, MISSOURI 65806.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 1114 Market Street, Room 615, ST. LOUIS, MISSOURI 63101.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, 339 Broadway, CAPE GIRARDEAU, MISSOURI 63701.
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- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 596, 517 E Wisconsin Street, MILWAUKEE, WISCONSIN 53202.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, 653 2nd Avenue N, FARGO, NORTH DAKOTA 58102.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building & U.S. Courthouse, 110 S 4th Street, MINNEAPOLIS, MINNESOTA 55401.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Mellgren Building, 520 Kansas City Street, RAPID CITY, SOUTH DAKOTA 57701.
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- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Room 200, 106 E Doty Street, MADISON, WISCONSIN 53703.
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- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 207, 816 Walker Street, AUGUSTA, GEORGIA 30903.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Jackson Building, 1509 4th Avenue, COLUMBUS, GEORGIA 31902.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 124 South Main Street, CORNELIA, GEORGIA 30531.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Bldg. & Courthouse E, 121 Spring Street SE, GAINESVILLE, GEORGIA 30501.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 229, 451 College Street, MACON, GEORGIA 31201.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Executive Court, Room 211, 5105 Paulsen Street, SAVANNAH, GEORGIA 31406.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 255, 401 N Patterson Street, VALDOSTA, GEORGIA 31601.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms (Airborne), 3835 Northeast Expressway, ATLANTA, GEORGIA 30340.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, 704 Jane Street, WAYCROSS, GEORGIA 31501.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Charter Oak Building, 405 N Jackson Street, ALBANY, GEORGIA 31705.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 613 Bellevue Avenue, DUBLIN, GEORGIA 31021.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Executive Park Building A, Office No. 5, N Main Street, SWAINSBORO, GEORGIA 30401.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Office Building, Room 210, 18 Greenville Street, NEWMAN, GEORGIA 30263.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 342, 600 E 1st Street, ROME, GEORGIA 30161.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 2121 Building, Room 1025, 2121 8th Avenue, BIRMINGHAM, ALABAMA 35203.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 110, ANNISTON, ALABAMA 36201.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Foster Park N, Suite 3, 313 N Foster Street, DOTHAN, ALABAMA 36301.
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- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Clinton Building, Room 103, 2109 W Clinton Avenue, HUNTSVILLE, ALABAMA 35805.
- Residents Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Office Building, Room 1009, 109 St. Joseph Street, MOBILE, ALABAMA 36602.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 605 Second Avenue, Suite 125, OPELIKA, ALABAMA 36801.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Office Center Building, Highway No. 5 South, HALEYVILLE, ALABAMA 35565.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 1118 Greensboro Avenue, U.S. Courthouse & Federal Building, Room 133, TUSCALOOSA, ALABAMA 35401.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Suite 504, 5821 Park Road, CHARLOTTE, NORTH CAROLINA 28209.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Post Office Building, Rooms 8-10, Otis and Post Streets, ASHEVILLE, NORTH CAROLINA 28801.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Post Office Building, Room 15, West Broad Street, DUNN, NORTH CAROLINA 28334.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room G-16, 207 W Main Street, WILKESBORO, NORTH CAROLINA 28697.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 895 Peters Creek Parkway, Rooms 201-203, WINSTON-SALEM, NORTH CAROLINA 27103.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, U.S. Federal Building, Room 310, Main Avenue Place SW, HICKORY, NORTH CAROLINA 28601.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Rowan Building, 103 Corriher Avenue, SALISBURY, NORTH CAROLINA 28144.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Browning Building, 3905 Orleander Drive, WILMINGTON, NORTH CAROLINA 28401.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Post Office Building, Room 313, 413 Middle Street, NEW BERN, NORTH CAROLINA 28560.

- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, U.S. Post Office and Federal Building, Rooms 230-234, Green & Mason Streets, FAYETTEVILLE, NORTH CAROLINA 28301.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Manning Building, Room 8, 115 E Main Street, WILLIAMSTON, NORTH CAROLINA 27892.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 321 Falls Road, ROCKY MOUNT, NORTH CAROLINA 27801.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Office Building, Rooms 211 & 215, Mulberry & Johns Streets, GOLDSBORO, NORTH CAROLINA 27530.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Post Office Building, Room 644, 310 New Bern Avenue, RALEIGH, NORTH CAROLINA 27611.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 804 W Ehringhaus Street, Rooms 2C & 2F, ELIZABETH CITY, NORTH CAROLINA 27909.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Office Building, Room 501, 901 Sumter Street, COLUMBIA, SOUTH CAROLINA 29201.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 1700 Highway 171, Suite C, Northbridge Shopping Center, CHARLESTON, SOUTH CAROLINA 29407.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 231 S Warley Street, FLORENCE, SOUTH CAROLINA 29501.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building & Courthouse, Rooms 240-242, 300 E Washington Street, GREENVILLE, SOUTH CAROLINA 29603.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 301 Building, Room 506, 301 N Lamar Street, JACKSON, MISSISSIPPI 39202.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 801 Security S&L Building, 2301 14th Street, GULFPORT, MISSISSIPPI 39501.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Ellison Building, 106 Court Square, LEXINGTON, MISSISSIPPI 39095.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 1414 23rd Avenue, MERIDIAN, MISSISSIPPI 39301.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Commerce & James Streets, ABERDEEN, MISSISSIPPI 39730.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 137, 911 Jackson Avenue, OXFORD, MISSISSIPPI 38655.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Office Building, Room 888, 400 W Bay Street, JACKSONVILLE, FLORIDA 32202.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 110 U.S. Post Office Bldg. & Courthouse, MARIANNA, FLORIDA 32446.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, U.S. Post Office & Courthouse, Rooms 8-17, Palafax Street, PENSACOLA, FLORIDA 32593.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Office Building, 551 SW First Avenue, MIAMI, FLORIDA 33130.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Bradshaw Building, Suite 201, 14 E Washington Street, ORLANDO, FLORIDA 32801.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Barnett Bank Building, Room 810, 1000 N Ashley Street, TAMPA, FLORIDA 33602.
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- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Franklin Building, Suite 315, E. Gate Center, CHATTANOOGA, TENNESSEE 37411.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Suite 210, 502 N Garden Street, COLUMBIA, TENNESSEE 38401.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 410 E Spring Street, COOKEVILLE, TENNESSEE 38501.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Snapps Ferry Road AT, Sparta Street, GREENEVILLE, TENNESSEE 37743.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, 109 S Highland, JACKSON, TENNESSEE 38301.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Parkway Building, Room 100, 1212 Pierce Parkway, KNOXVILLE, TENNESSEE 37921.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 167 N Main Street, Room 22, MEMPHIS, TENNESSEE 38103.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 3 Corporate Square Building—Suite 260, 3910 Kirby Drive, HOUSTON, TEXAS 77027.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 300 E. 8th Street, AUSTIN, TEXAS 76010.
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- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Room 111, 10 E. Elizabeth St., BROWNSVILLE, TEXAS 77820.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, New Federal Building—Room A-405, 727 E Durango Street, SAN ANTONIO, TEXAS 78206.
- Special Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Room 12 C52, 1100 Commerce Street, DALLAS, TEXAS 75202.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, 110 E Houston, TYLER, TEXAS 75701.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Old Federal Building—Room 3008, 517 Gold Avenue SW, ALBUQUERQUE, NEW MEXICO 87111.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Office Building, Room 625, 1205 Texas Avenue, LUBBOCK, TEXAS 79401.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Office Building—Room 11001, 819 Taylor Street, FORT WORTH, TEXAS 76102.
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- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building—Room 278, FORT SMITH, ARIZONA 72901.
- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, U.S. Post Office, Room 213, TEXARKANA, ARIZONA 75502.
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- Resident Agent in Charge, Bureau of Alcohol, Tobacco and Firearms, Federal Building, Room 8 A 15 500 Fannin Street, SHREVEPORT, LOUISIANA 71162.
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Area Supervisor, Bureau of ATF, Room 650 Fed. Bldg. and U.S. Courthouse, 316 North Robert Street, St. Paul, MN 55105.

Area Supervisor, Bureau of ATF, Room 636 Fed. Bldg. and U.S. Courthouse, 517 E. Wisconsin Avenue, Milwaukee, WI 53202.

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 Regional Counsel, Bureau of ATF, Room 1507, 230 S. Dearborn Street, Chicago, Illinois 60604.
 Regional Counsel, Bureau of ATF, 34th Floor, 525 Market Street, San Francisco, California 94105.

ATF LABORATORIES

Chief, ATF Field Laboratory Room 29, U.S. Post Office and Court House, Cincinnati, Ohio 45202.
 Chief, ATF Field Laboratory, 3835 N.E. Expressway, Room 214, Atlanta, Georgia 30340.
 Chief, ATF Field Laboratory, 1104 U.S. Custom House, 2nd and Chestnut Streets, Philadelphia, Penna. 19106.
 Chief, Scientific Services Division, IRS Building, Room 7575, 1111 Constitution Avenue, N.W., Washington, D.C. 20226.

ATF DISTRIBUTION CENTER

Chief, Distribution Center, Bureau of Alcohol, Tobacco and Firearms, 3800 South Four Mile Run Drive, Arlington, Virginia 22206.

Treasury/BEP 00.001

System name: Accident and Safety Report—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Any employee in the Postage Stamp Division who is injured during his tour of duty.

Categories of records in the system: Contains Employee Name, Age, Address, Telephone Number, Type of Injury and Treatment.

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: Used by the Safety Officer to record type and frequency of injury; used by Safety Committee Chairman to acquaint Safety Committee with types of injuries in the Postage Stamp Division and used by Compensation Clerk for computing compensation benefits. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: Indexed by employee name, date and section.

Safeguards: Access limited to Postage Stamp Division personnel; cabinet is locked at close of shift.

Retention and disposal: Record is retained for two years and then destroyed by shredding.

System manager(s) and address: Chief, Office of Securities Processing, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228 Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Information furnished by the injured employee, supervisor, and witness if applicable.

Treasury/BEP 00.002

System name: Civilian Employee Claim File—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Civilian officers and employees of the Bureau of Engraving & Printing, former employees and their survivors having claim for damage to or loss of personal property incident to their service.

Categories of records in the system: Contains investigative and adjudication documents relative to personal property damage claim.

Authority for maintenance of the system: Military Personnel and Civilian Employees' Claims Act of 1964, Public Law 88-558. Treasury Department Administrative Circular No. 136, Rev.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Director, Bureau of Engraving and Printing and/or his designee for adjudication

and settlement of claims. For additional routine uses see Appendix AA.

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

Storage: File Folder.

Retrievability: By Name.

Safeguards: Locked file cabinet—access limited to Safety Branch Staff.

Retention and disposal: Retained three years; disposal procedures not yet established.

System manager(s) and address: Chief, Office of Industrial Services, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Individuals having claim for damage to or loss of personal property.

Treasury/BEP 00.003

System name: Continuation of Pay Record—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Bureau of Engraving & Printing employees, incurring work connected injuries or illnesses and making claim for continuation of pay.

Categories of records in the system: Memoranda from Safety Manager authorizing Office of Financial Management to continue employee's pay up to 45 days.

Authority for maintenance of the system: Federal Employee Compensation Act as amended; Treasury Department Personnel Bulletin 74-73.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Safety Branch & Office of Financial Management and Treasury Department to initiate statistical records for continuation of pay cases and costs. Used to document and authorize continuation of pay. For additional routine uses see Appendix AA.

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

Storage: File Folder.

Retrievability: Name

Safeguards: Locked file cabinet, access limited to Safety Manager and Compensation Claims Staff.

Retention and disposal: Retained three years; disposal procedures not yet established.

System manager(s) and address: Chief, Office of Industrial Services, Bureau of Engraving and Printing; 14 & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Individual employee and Safety Branch reports and recommendations.

Treasury/BEP 00.005

System name: Compensation Claims—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Bureau of Engraving & Printing employees incurring work connected injuries or illnesses, necessitating absence, making claim under Compensation Act.

Categories of records in the system: All pertinent documentation, including investigative reports, forms, etc. relative to work—connected injuries of employees.

Authority for maintenance of the system: Federal Employees Compensation Act, as amended—Public Law 93-416.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Compensation Claims staff (Safety Branch) and Department of Labor to initiate, adjudicate and maintain status of employees who may or have initiated claims for continuation of pay and compensation. For additional uses see Appendix AA.

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

Storage: File Folder and card file.

Retrievability: Name and claim no.

Safeguards: Locked file cabinets; access limited to Safety Manager and Compensation Claims staff.

Retention and disposal: Retained five years; disposal procedures not yet established.

System manager(s) and address: Chief, Office of Industrial Services, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Employee's Health Unit Daily Report, Notification of Public Health Service Recommendation and information provided by employee.

Treasury/BEP 00.004

System name: Counseling Records—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Employees whose actions or conduct warrants counseling.

Categories of records in the system: Contains correspondence relative to counseling information and follow-up reports.

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: Used by Employee Relations Branch personnel for counseling of individual employees. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: By name.

Safeguards: Locked in file cabinets; access limited to Employee Relations Branch personnel.

Retention and disposal: Retained for one year and then destroyed by shredding.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Individual employee.

Treasury/BEP 00.006

System name: Debt Files (Employees)—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All Bureau of Engraving & Printing employees on whom debt complaints are received.

Categories of records in the system: Contains employee's name, complaint information, court judgments, counseling efforts, receipts, and final disposition of complaint.

Authority for maintenance of the system: Federal Personnel Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Employee Relations Branch personnel for employee counseling, credit reference, and disposition of complaint. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: By name.

Safeguards: Maintained in locked cabinets; access limited to Employee Relations Branch personnel.

Retention and disposal: Retained for two years and then destroyed by shredding.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Employee, Complainants, and Court Judgements.

Treasury/BEP 00.007

System name: Departmental Integrated Personal Services System (DIPS)—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All employees of the Bureau of Engraving & Printing.

Categories of records in the system: The Department Integrated Personal System (DIPS) is an automated data system which contains both personal and financial information relating to an employee during his employment with the Bureau of Engraving & Printing. It includes historical and cumulative data concerning such items as: education, work history, training pay rates, pay adjustments, health benefits, tax information, withholdings, allotments, leave data, time and attendance, retirement information, salary, residence, veterans preference, status, savings bonds, cost center, payroll number, social security number or other functional category.

Authority for maintenance of the system: Treasury Department memorandum dated January 10, 1975.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by personnel in both Office of Industrial Relations and Office of Financial Management for activities related to: Manpower Planning and Forecasting, Statistical Reporting, Payroll Preparation, Personnel Action Changes, creation of tapes for issuance of pay checks, deductions and other withholdings, earnings statements, preparation of savings bonds, income tax withholding data submitted to applicable states and other similar types of reporting activities. Records may also be used or reviewed by other government agencies such as Civil Service Commission and General Accounting Office in connection with inspections, appeals or for audit purposes. For additional uses see Appendix AA.

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

Storage: Data is stored on tabulating cards, computer tape and magnetic disks.

Retrievability: By Name, Date, Employee Number, category of information listed within Category of Record shown above.

Safeguards: Raw data files are maintained in locked files in both Office of Industrial Relations & Office of Financial Management. Tape & disk information is accessible only through specific computer programs.

Retention and disposal: Retention periods and disposal guidelines for these records have not yet been officially determined.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Individual Bureau of Engraving & Printing Employees, Official Personnel Files, Payroll & Financial Records.

Treasury/BEP 00.008

System name: Emergency Contact Records—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All Employees of Product Control Division.

Categories of records in the system: Record contains Name, Address and Designation of person to be contacted in case of emergency.

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: Used by Product Control Division personnel for notification of designated person in case of emergency. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: By Name.

Safeguards: Access limited to Quality Control Branch personnel; kept in metal file cabinets.

Retention and disposal: Record maintained during employee's tenure with the Quality Control Branch. Destroyed after employee's separation by shredding.

System manager(s) and address: Chief, Office of Industrial Services, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Individual Product Control Division employees.

Treasury/BEP 00.009

System name: Employee Arrest Record—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All Bureau of Engraving and Printing employees who have been arrested.

Categories of records in the system: Telephone conversation memo for file regarding arrest information supplied by Office of Security.

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: Used by Employee Relations Branch personnel as background material for possible discipline or adverse action. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: By name.

Safeguards: Maintained in locked cabinets; access limited to Employee Relations Branch personnel.

Retention and disposal: Retained until conviction, acquittal or other disposition and then destroyed by shredding.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Office of Security and police records.

Treasury/BEP 00.010

System name: Employee's Health Unit Daily Report—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Bureau of Engraving and Printing employees reporting to Medical Unit for treatment of job-related injuries or illnesses.

Categories of records in the system: Daily listing of employee's visitation to Medical Unit indicating: name, assigned work area, time and nature of injury or illness.

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: Used by Safety Branch for analysis of injury categories, initiation of comprehensive investigation of cases and preparation of monthly, quarterly, and annual reports of work-connected injuries by cost and cause. For additional routine uses see Appendix AA.

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

Storage: File Folder.

Retrievability: Name and date.

Safeguards: Locked file cabinet, access limited to Safety Branch staff.

Retention and disposal: Retained three years; disposal procedures not yet established.

System manager(s) and address: Chief, Office of Industrial Services, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures:

Contesting record procedures:

Record source categories: Medical Unit report of work connected injuries and information provided by employee.

Treasury/BEP 00.011

System name: Employees Home Contact File—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Messengers and Clerical Personnel within Mail & File Unit.

Categories of records in the system: System shows Employee's Name, Address, Phone Number and Emergency Contact.

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: Used by Mail & File Unit Supervisor to notify designated person in case of Emergency. For additional routine uses see Appendix AA.

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

Storage: 3 x 5 Cards.

Retrievability: By Employee's Name.

Safeguards: Access limited to Unit Supervisor and kept in locked desk drawer.

Retention and disposal: Maintained for duration of employment. Upon termination record is destroyed by shredding.

System manager(s) and address: Chief, Office of Administrative Services, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Individual Mail and File Unit Employees.

Treasury/BEP 00.012

System name: Employee Index File—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All Supply Branch Employees.

Categories of records in the system: Record contains employee name, address, phone number, pay account number, social security number, cost center number, position, grade, and date of employment.

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: Used by Supply Branch personnel to notify designated person in case of emergency or when employee is absent. Also used as Office reference file to provide information for other Bureau components upon request. For additional routine uses see Appendix AA.

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

Storage: 3 x 5 Cards.

Retrievability: Indexed by name.

Safeguards: Kept on clerical supervisors desk, access limited to Supply Branch personnel.

Retention and disposal: Record retained for two years following departure of employee from Branch, then destroyed by shredding.

System manager(s) and address: Chief, Office of Administrative Services, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Supply Branch Employees.

Treasury/BEP 00.013

System name: Employee Locator Record—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All employees of the Bureau of Engraving & Printing.

Categories of records in the system: The system provides current information for the Treasury telephone directory. It also provides employee information data which is needed to locate employees in case of emergency.

Authority for maintenance of the system: The Department of the Treasury, Office of Administrative Programs, Telecommunications Circular No. 21—June 13, 1974.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Telephone Services Unit to locate employees within the Bureau of Engraving & Printing. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: By name of employee.

Safeguards: Access limited to Telephone Services Unit personnel; maintained in locked cabinet.

Retention and disposal: Record maintained during employees tenure with the Bureau and then destroyed.

System manager(s) and address: Chief, Office of Industrial Services, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Bureau of Engraving & Printing Employees.

Treasury/BEP 00.014

System name: Employee's Daily Production Record—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Craft and non-craft employees (bookbinders, examiners, verifiers, exchangers, note packaging workers, counters and assemblers).

Categories of records in the system: Contains Employee Name, Date, Hours, Shift and record of Daily Production.

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: Used by Examining Division personnel for evaluation of employee's level of productivity. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders and production books.

Retrievability: Indexed by Name and Date.

Safeguards: Maintained in locked cabinets; access is limited to Examining Division personnel.

Retention and disposal: Retained five years and then destroyed by shredding.

System manager(s) and address: Chief, Office of Securities Processing, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Information furnished by employee at end of shift.

Treasury/BEP 00.015

System name: Employee Seniority List—Treasury/BEP

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Quality Control Branch Printing Inspectors.

Categories of records in the system: List of employees in order of seniority.

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: Used by Quality Control Supervisor for scheduling overtime or shift assignments. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: By Name.

Safeguards: Access limited to Quality Control Branch Personnel. Locked in Supervisor's desk.

Retention and disposal: List will be superseded due to deletion of terminated employee's name and the addition of new employees name. Superseded list will be shredded.

System manager(s) and address: Chief, Office of Industrial Services, Bureau of Engraving and Printing; 14 & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Quality Control Branch Employee Service Record and Supervisor.

Treasury/BEP 00.016

System name: Employee Suggestions—Treasury/BEP

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All Bureau of Engraving & Printing employees submitting suggestions under the incentive award program.

Categories of records in the system: Contains employee's suggestion, reviewer evaluation and final disposition information.

Authority for maintenance of the system: Title 5, United States Code, 4502 (c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Employee Relations Branch personnel and other management personnel for system improvements, cost saving ideas, determination of employee awards and other reference purposes. For additional routine uses see Appendix AA.

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

Storage: Maintained in File Folders.

Retrievability: Indexed by Name.

Safeguards: Maintained in locked file cabinets; access limited to Employee Relations Branch personnel and employee's Supervisor.

Retention and disposal: Retained for three years following date of submission and then destroyed by shredding.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Individual Employee, Employee Supervisor and review committee.

Treasury/BEP 00.040

System name: Freedom of Information Requests—Treasury/BEP

System location: Bureau of Engraving and Printing; 14th & C Sts., SW Washington, D.C. 20228.

Categories of individuals covered by the system: Individuals requesting information.

Categories of records in the system: Correspondence pursuant to the Freedom of Information Act, internal processing documents and memoranda, referrals and copies of requested records.

Authority for maintenance of the system: Freedom of Information Act, 5 U.S.C. 552, 31 C.F.R. Part 1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For reporting requirements as required by the Act; to respond to other Department officials who request information regarding persons making a FOI request; evaluation purposes and determination of volume of requests received and the impact on the current workload; preparation of budget; disclosures in accordance with Freedom of Information Act, to other agencies when required for coordination of response or referral; to Department of Justice for defending law suits; to Congressional Committees; for additional routine uses see Appendix AA.

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

Storage: File folders.

Retrievability: By name of requester(s) and date of request.

Safeguards: Filed in filing cabinet and released only to individuals with legitimate right to review.

Retention and disposal: In accordance with the provisions of the Act and Departmental records management procedures.

System manager(s) and address: Chief, Office of Administrative Services, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., S.W., Washington, D.C. 20228, Attn: Privacy Law Information.

Record access procedures: See Notification above.

Contesting record procedures: See Notification above.

Record source categories: Individuals who make Freedom of Information Act requests. Federal officials responding to Freedom of Information Act requests and documents from official records.

Treasury/BEP 00.018

System name: Guard Uniform Control Account—Treasury/BEP

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All uniformed guard force personnel of the Bureau of Engraving and Printing.

Categories of records in the system: Record contains the guard's name, badge number, rank, employment anniversary date, current inventory of guard's uniform, history of uniform issuance, activity and current dollar balance of guard's uniform allowance.

Authority for maintenance of the system: Federal Uniform Allowance Act, 1954.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Chief, Office of Security and Head, Protective Service Branch to monitor and control guard annual uniform allowance, maintain a current inventory of guard uniforms, plan required stock levels and changes in authorized uniform issues. For additional routine uses see Appendix AA.

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

Storage: 8 x 10 1/2 Ledger sheets in a notebook.

Retrievability: Alphabetical by guard's name.

Safeguards: Access limited to Chief, Office of Security, Head, Protective Services Branch, and the Uniform Control Clerk. Maintained in a locked file cabinet.

Retention and disposal: This is a new system and no retention period has yet been established.

System manager(s) and address: Chief, Office of Security, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Guard Force Personnel of Bureau of Engraving and Printing.

Treasury/BEP 00.019

System name: Identification Files—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW Washington, D.C. 20228.

Categories of individuals covered by the system: Incumbent Employees, Separated Bureau Employees, Visitors to the Bureau, Contractor & Service Company Employees (Incumbent & Separated).

Categories of records in the system: Category: Request for Issuance of Badge or Pass, Badge and Pass Photograph, Employee Identification Badge or Pass, Employee Identification Badge and Pass Record Card, Control Record for Issuance of Badges & Passes, Record of Lost Badges, Record of Funds Collected for Issuance of Badges or Passes and receipts for funds released to appropriate authority, Record of Destruction of Badges and Passes, Type of Information: The following information is retained as it applies to each individual issued a Pass and/or Badge in the present system: Name, Date of Birth, Physical Description, Work area assignment, Name of Firm or Government Agency, Requesting Data for Pass/Badge, Signatures of persons receiving for Passes and Badges, Badge and Pass Numbers, Date of Issue, to whom issued and area or firm, Dates and method of destruction, Date, place and circumstance of loss of Pass/Badges.

Authority for maintenance of the system: Executive Order 11652 and implementing Treasury and Bureau regulations and 31 United States Code, Section 427.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Category of Users: Bureau of Engraving and Printing management officials, Bureau of Engraving and Printing security personnel, Federal, State, and local law enforcement or investigative agencies. For additional routine uses see Appendix AA. Purpose of Each Use: Identification of personnel, Determine status of personnel, Limit access of personnel to specified Bureau security areas, Control access to the Bureau.

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

Storage: Ledgers, Cards, File Folders, Loose Leaf Binders, Envelopes.

Retrievability: Numerical by Pass/Badge Number, Alphabetically by last name, Appropriate index by subject.

Safeguards: Maintained in locked cabinets in a locked room; access limited to Office of Security staff.

Retention and disposal: Retention period and disposal instructions have not yet been officially established.

System manager(s) and address: Chief, Office of Security, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: The individual concerned, his supervisor, or an official of the individual's firm or agency.

Treasury/BEP 00.020

System name: Industrial Truck Licensing Records—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Bureau of Engraving and Printing employees designated to operate self-propelled material and/or machinery handling equipment.

Categories of records in the system: Record of employee physical examination, testing, license number and issue date for purpose of operating one or more types of material handling equipment used within the Bureau of Engraving and Printing.

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: Used by Safety Division staff personnel to validate employee operational authority and determine renewal dates. For additional routine uses see Appendix AA.

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

Storage: File Folder and Card file.

Retrievability: By Name.

Safeguards: Locked file cabinet, access limited to Safety Division staff.

Retention and disposal: Retained three years; disposal procedures not yet established.

System manager(s) and address: Chief, Office of Industrial Services, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Supervisor request, results of physical examination, and data obtained during training or practical tests.

Treasury/BEP 00.042

System name: Informal EEO Complaint Processing Records—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Employees who register informal EEO complaints.

Categories of records in the system: Contains information and data developed through counseling sessions and appropriate inquiries.

Authority for maintenance of the system: U.S. Civil Service Commission Regulations; Section 713 Treasury Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used to inform complainants of the results of the counselor's inquiries. Also used to provide EEO Complaint Investigator with historical background data on cases which could not be resolved on an informal basis.

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

Storage: Maintained in file folders.

Retrievability: By name.

Safeguards: Locked in combination lock safe. Access limited to EEO Specialists and Counselors.

Retention and disposal: Retained up to ten years and then destroyed by shredding.

System manager(s) and address: Chief, Office of Industrial Relations Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Individual complainants and other employees and supervisors necessary to make an appropriate inquiry.

Treasury/BEP 00.021

System name: Investigative Files—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Incumbent Employees, Separated Bureau Employees, Employee Applicants, Visitors to the Bureau, Non-Bureau Correspondents, Contractor & Service Company Employees (Incumbent and Separated).

Categories of records in the system: Category: Security Files, Personnel Clearance Requests, Case Files, Bank Shortage Letters, Contractor Files, Food Coupon Discrepancy Reports, Intelligence Files, Stamp Discrepancy Reports, Case Record, Crank Letters, Security Files Reference Record, Employee Indebtedness Record, Type of Information: Character references, Guard force reports, Previous employment verifications, Newspaper articles, Social Security Numbers, Laboratory reports to include handwriting results and latent fingerprint examinations, Law enforcement criminal and subversive record checks, Court records, Security registers, Residency information, Reports of shortages or thefts of Bureau products including subsequent investigations, Personnel records of various types, Fingerprint card, Photograph, Names of individuals including those at contractor plants who worked on a shortage involving Bureau products, Credit checks, Background investigation reports conducted by Civil Service Commission, the Internal Revenue Service and other Federal Investigative Agencies, Disciplinary action recommended and/or received, Military record forms and extracted information, List of Bureau employees granted security clearances, Processes served, i.e. summons, subpoenas, warrants, etc., Personnel security case numbers, dates case opened and closed, and recommendations, Certificate of Security clearance, Reports of violations of Bureau regulations and procedures, Bureau visitor control documents, Correspondence relating to individuals, Claims of indebtedness from firms and collection agencies and other sources, and assorted documents, Tape recorded testimony, Type of Information: Bureau investigation reports, Information supplied by law enforcement agencies, Applicant interview record, Anonymous tips concerning Bureau employees, Official investigative statements, Names of those requesting security assistance and report of the assistance rendered, Other pertinent governmental records, Education records and information, Date of Birth and physical description of individual in the files.

Authority for maintenance of the system: Executive Order 10450 and implementing Treasury and Bureau regulation and 31 U.S.C. 427.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Category of Users: Office of Security and staff, Bureau of Engraving & Printing management officials, Federal, state, county, and city law enforcement agencies, Investigatory Government agencies, other Governmental agencies requesting information, Contractor plant management officials. Purpose of Each Use: Determine employment suitability from a security point of view, Data for bi-weekly & quarterly reports, Means of identifying employees and employee misconduct and criminal activities and their actions affecting security suitability, Social Security numbers as a means of identification, Recommendations for disciplinary action to include dismissal from the Bureau, Determine employees' acceptability for assignment to security areas/duties from a security standpoint, Grant access to the Bureau, Develop Bureau policies and procedures, Determine patterns of employee behavior regarding misconduct, debts, illegal activities, etc., Develop investigative leads, Compile lists of suspects, Maintain numerical record of cases received during year, Maintain record of visitors to Bureau, Determine prospective firms suitability to conduct business with the Bureau, Evidence in legal cases and other judicial and non-judicial actions, Grant security clearances, Determine non-Bureau employee suitability to work on Bureau premises and/or products. For additional routine uses see Appendix AA.

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

Storage: File Folders, 3 x 5 Index Cards, 5 x 8 Index Cards, Loose Leaf Binders, Ledger, Recording Tape.

Retrievability: Numerically by case number and year, Alphabetically by name and social security number, Alphabetically by company name.

Safeguards: Access is limited to Office of Security staff and maintained in locked file cabinets.

Retention and disposal: Retention period and disposal instructions have not yet been officially established.

System manager(s) and address: Chief, Office of Security, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Proposed exempt system.

Record access procedures: Proposed exempt system.

Contesting record procedures: Proposed exempt system.

Record source categories: Proposed exempt system.

Systems exempted from certain provisions of the act: System exempted from certain provisions of the Act. Notice of proposed exemption from 5 U.S.C. 552a (j) and/or (k) elsewhere in the Federal Register.

Treasury/BEP 00.022

System name: Monthly Equal Employment Opportunity Activity Report—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Minority and female employees receiving significant appointments and promotions.

Categories of records in the system: Name and Position of Promotion or Appointment.

Authority for maintenance of the system: Affirmative Action Plan for Fiscal Year 1975.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Bureau Equal Employment Opportunity Staff to inform the Director, Office of Equal Employment Opportunity Program, Department of the Treasury, of the monthly progress of minority and female employees. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: Cross referenced by month and employee's name.

Safeguards: Access is limited to Bureau Equal Employment Opportunity Staff and is maintained in locked combination safe.

Retention and disposal: Retained 5 years and then destroyed by incineration.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Personnel Action Records maintained by Supervisor.

Treasury/BEP 00.023

System name: Motor Vehicle Licensing Records—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Bureau of Engraving and Printing employees designated to operate passenger vehicles, trucks, and/or vans for Bureau business.

Categories of records in the system: Record of employee physical examination, testing, license number and issue date for purpose of operating passenger and/or truck vehicles.

Authority for maintenance of the system: United States Civil Service Commission Regulations 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Safety Branch and/or Security Staff, District of Columbia or State Enforcement Authorities to validate employee operational authority. For additional routine uses see Appendix AA.

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

Storage: File folder and card file.

Retrievability: By name.

Safeguards: Kept in locked file cabinets; access limited to Safety Division staff.

Retention and disposal: Retained three years; disposal procedures not yet established.

System manager(s) and address: Chief, Office of Industrial Services, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Supervisor request, results of physical examination, and data obtained during training or practical tests.

Treasury/BEP 00.043

System name: Parking Program Records—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Bureau, Non-Bureau personnel.

Categories of records in the system: Parking space applicant information—shows applicant's name and address, vehicle model and year, vehicle license number, work hours, work component, home and work telephone number.

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: Used to provide information on all parking permit applicants.

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

Storage: 5 x 8 card file and letter-size file folders.

Retrievability: Alphabetically by applicant and parking space number.

Safeguards: Access is limited to Office of Security staff and maintained in locked office.

Retention and disposal: Retention period and disposal instructions have not been officially established.

System manager(s) and address: Chief, Office of Security, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Parking permit applicants.

Treasury/BEP 00.024

System name: Payroll Records—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All Bureau of Engraving and Printing Employees (Active).

Categories of records in the system: Current Pay and Cumulative Pay—Record consists of all payroll transactions affecting the employee's pay checks, e.g., withholdings, allotments, net check, cumulative year—to—date total.

Authority for maintenance of the system: Federal Personnel Manual and various Federal, State and Local regulatory agencies 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by payroll personnel to create the pay tape for the disbursing officer for routine payroll. Also used to produce the bi-weekly, quarterly and annual employee earnings statement which enables the employee to verify his or her record. For additional routine uses see Appendix AA.

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

Storage: Punch Card.

Retrievability: By Pay Account Number.

Safeguards: Records are maintained in locked files in locked area. Access limited to Payroll personnel.

Retention and disposal: Retention period and disposal instructions have not yet been officially established.

System manager(s) and address: Chief, Office of Financial Management, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Employee time and attendance records, allotment authorizations, withholding statements or related financial information.

Treasury/BEP 00.025

System name: Payroll Statistical Data—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All Bureau of Engraving and Printing Employees.

Categories of records in the system: Payroll History—Record consists of all required payroll information including leave data, time and attendance history, allotment information, retirement information, and required pay status information.

Authority for maintenance of the system: Federal Personnel Manual and various regulatory bodies. 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by payroll personnel for routine payroll reporting to Bureau financial and personnel record—keeping personnel; tax reporting at Federal, state and local levels, and required reports to Department of Treasury, Civil Service Commission and other Government agencies (as required by Federal directives). For additional routine uses see Appendix AA.

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

Storage: Punch Card.

Retrievability: Pay Account Number.

Safeguards: Maintained in locked files in locked area. Access limited to Payroll Personnel.

Retention and disposal: Retention period and disposal instructions have not yet been officially established.

System manager(s) and address: Chief, Office of Financial Management, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Employee time and attendance records, payroll records, and related financial information.

Treasury/BEP 00.026

System name: Personal Protective Equipment File—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Employees of the Bureau of Engraving and Printing who work in high risk areas; or in positions, designated by supervisor as meeting the criteria for issuance of protective equipment.

Categories of records in the system: List of employees who have been issued safety shoes, glasses, bump hats, or other types of protective equipment.

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: Used by Safety Manager for authorizing procurement of equipment, also for maintaining record of issues and to justify or reject re-issue of equipment. For additional routine uses see Appendix AA.

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

Storage: File folder and card file.

Retrievability: By name.

Safeguards: Kept in locked file cabinet; access limited to Safety Division staff.

Retention and disposal: Retained three years; disposal procedures not yet established.

System manager(s) and address: Chief, Office of Industrial Services, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Supervisor and/or employee requests and issue listings.

Treasury/BEP 00.044

System name: Personnel Security Files and Indices—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Employee applicants, current and former Bureau employees, contractor and service company employees.

Categories of records in the system: Investigative information related to personnel investigations conducted by the Bureau of Engraving and Printing Security office and other Federal Agencies.

Authority for maintenance of the system: Executive Order 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are used for the purpose of granting security clearances and making employment suitability determinations. For additional routine uses see Appendix AA.

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

Storage: File Folders/3 x 5" Index cards.

Retrievability: Alphabetically by name.

Safeguards: Access is limited to Office of Security staff and records are maintained in locked file cabinets.

Retention and disposal: Retention periods and disposal instructions have not yet been officially established.

System manager(s) and address: Chief, Office of Security Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Individual employee and information supplied by other Federal Investigative Agencies.

Treasury/BEP 00.027

System name: Personnel Movement Control Record—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Bureau of Engraving & Printing Employees, Official Visitors to the Bureau, Contractor & Service Company Employees.

Categories of records in the system: Record contains Name, Office, Division, Branch, Unit, Badge Number, Picture, Work Shift Code, Work Area Code, Personnel Category, Time & Location of each passage through a Security Control point.

Authority for maintenance of the system: Executive Order 11652 and implementing Treasury and Bureau regulations and 31 U.S.C. 427.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by management and security employees for identification of personnel and for limiting access to and movement within controlled Bureau security areas. For additional routine uses see Appendix AA.

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

Storage: Ledgers, cards, file folders, loose leaf binders, envelopes.

Retrievability: Numerical by Pass/Badge Number, Alphabetically by last name, Appropriate index by subject.

Safeguards: Maintained in locked cabinets in a locked room; access limited to Office of Security staff.

Retention and disposal: Retention period and disposal instructions have not yet been officially established.

System manager(s) and address: Chief, Office of Security, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: The individual concerned, his supervisor, or an official of the individual's firm or agency.

Treasury/BEP 00.028

System name: Personnel Progress & Achievement Record—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Management Analysts and Clerical Personnel within Management Analysis Branch.

Categories of records in the system: This record contains a history of an employee's work assignments and information relative to performance as well as information on training schools attended or other pertinent information.

Authority for maintenance of the system: See 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by supervisor of Management Analysis Branch to evaluate work performance of Branch employees for promotion, training and reference material for future assignments. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: Filed alphabetically by employee's name.

Safeguards: Access is limited to Branch Head and kept in locked desk drawer.

Retention and disposal: Maintained for the duration of employee's assignment within the Branch. Upon termination, they are either given to the employee or destroyed.

System manager(s) and address: Chief, Office of Administrative Services, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Management Analysis Branch employees or Supervisor knowledge of employee.

Treasury/BEP 00.029

System name: Petition of Election—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Listing of employees eligible for inclusion within the Union bargaining for recognition.

Categories of records in the system: Alphabetical listing of eligible employees to include position title & occupational codes.

Authority for maintenance of the system: Executive Order 11491, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information compiled & furnished to United States Dept. of Labor, Labor—Mgmt Services Admin. in order to supervise the election; to the Dept. of Treasury

to fulfill reporting requirement in Treasury Personnel Manual 711; and to the petitioning Union to verify eligibility of voters at the poll. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: By Union Title.

Safeguards: Maintained in a locked cabinet; access limited to Labor—Mgmt. Relations staff & designated Union Representatives as required.

Retention and disposal: Retained indefinitely for reference & historical purposes.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Position Description file & Personnel Manpower file.

Treasury/BEP 00.030

System name: Project REST (Reporting Employment Statistics in Treasury), Minority Statistics—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All Bureau of Engraving & Printing Employees.

Categories of records in the system: Record contains employee name, Social Security Number, Minority Group Identification, Sex, Occupational Series, Grade, Pay Plan, and Date of Birth.

Authority for maintenance of the system: Assistant Secretary for Administration, Department of the Treasury, Administrative Circular No. 232 (October 5, 1972).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Equal Employment Opportunity staff to provide Minority Group Statistical Data for evaluating the Bureau Equal Employment Opportunity responsibilities. For additional routine uses see Appendix AA.

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

Storage: On computer print—out.

Retrievability: By Name, Sex and Minority Group Identifier.

Safeguards: Access limited to Bureau Equal Employment Opportunity staff; maintained in locked combination safe.

Retention and disposal: Retained for three years and then destroyed by incineration.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Individual Employee, Equal Employment Opportunity Counselors, Equal Employment Opportunity Investigators.

Treasury/BEP 00.041

System name: Record of Discrimination Complaints—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Employees who have initiated discrimination complaints.

Categories of records in the system: Data developed as a result of inquiry by the person making the allegation of discrimination.

Authority for maintenance of the system: U.S. Civil Service Commission (Federal Personnel Manual Letter, No. 713—21).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Equal Employment Opportunity Complaint Investigators and Hearing Officers to provide reference data for making rulings on discrimination cases. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: By Name.

Safeguards: Access limited to Complainants, Equal Employment Opportunity Staff, Equal Employment Opportunity Investigator; maintained in locked combination safe.

Retention and disposal: Maintained for 10 years and then destroyed by shredding.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Individual employees who have discrimination complaints.

Treasury/BEP 00.031

System name: Reemployment Information Record—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Former Bureau of Engraving & Printing employees.

Categories of records in the system: Information relative to reemployment rights and reemployment recommendations.

Authority for maintenance of the system: See 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by personnel staff for re-hiring determinations and statistical studies and reports. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: Indexed by name and year.

Safeguards: Maintained in locked file cabinet, access limited to Personnel staff.

Retention and disposal: Maintained for a period of 10 years after termination and then destroyed by shredding.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Information obtained from supervisor as employees separate.

Treasury/BEP 00.032

System name: Retention Register—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All Bureau of Engraving and Printing Employees (Active).

Categories of records in the system: Information on retention rights of employees.

Authority for maintenance of the system: Federal Personnel Manual Chapter 351.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In cases of reduction in force, used primarily by personnel staff to determine retention rights and also by the Civil Service Commission on inspections and for resolving appeals. For additional routine uses see Appendix AA.

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

Storage: Records are maintained on punch cards.

Retrievability: Indexed by name, retention subgroup, and competitive level.

Safeguards: Access limited to Manpower Information and Records Section, Staffing Classification and Supervisory Personnel. Maintained in locked file cabinets.

Retention and disposal: Registers are maintained until a new register replaces it. The old register is then destroyed.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Data is obtained from the Official Personnel Folder.

Treasury/BEP 00.033

System name: Roster of Bureau of Engraving & Printing Employees—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All Bureau of Engraving & Printing Employees.

Categories of records in the system: Roster of employees employed at the Bureau of Engraving & Printing (Active).

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: Used by Office of Industrial Relations personnel, auditors and Bureau managers for statistical reports, locator system and manpower forecasting. For additional routine uses see Appendix AA.

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

Storage: Stored on flexoline cards.

Retrievability: By name of employee.

Safeguards: Access limited to Office of Industrial Relations personnel, locked in standard card file.

Retention and disposal: Maintained indefinitely and changed as personnel are hired or separated.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Information obtained from appointment papers and separation papers.

Treasury/BEP 00.034

System name: Time & Attendance Record—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All Bureau of Engraving & Printing Employees.

Categories of records in the system: Record contains time & attendance information.

Authority for maintenance of the system: Federal Personnel Manual and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Payroll Section to compute employee payroll records and used by Supervisor & time-keeping personnel to record time & attendance information. For additional uses see Appendix AA.

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

Storage: Maintained in tabulating card files.

Retrievability: By name.

Safeguards: Locked in Supervisor's Office; access limited to employees, Supervisor & clerical personnel in Payroll Section.

Retention and disposal: Retained for three years and then destroyed by shredding.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Individual Employee and Supervisor.

Treasury/BEP 00.035

System name: Tort Claims (Against the United States)—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Individuals and/or organizations making claim for money damage against the United States for injury to or loss of property or personal injury or death caused by the neglect or wrongful act or omission of a Bureau of Engraving and Printing employee while acting within the scope of his office or employment.

Categories of records in the system: Contains investigative and adjudication documents relative to personal injury and/or property damage claims.

Authority for maintenance of the system: Federal Tort Claims Act, Title 28 U.S.C. 2672, Public Law 89-506, Treasury Department Circular 131.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Director, Bureau of Engraving and Printing and/or his designee in conjunction with the General Counsel, Department of the Treasury for adjudication and settlement of claims. For additional uses see Appendix AA.

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

Storage: File folder.

Retrievability: By name.

Safeguards: Locked file cabinet; access limited to Safety Division staff.

Retention and disposal: Retained three years; disposal procedures not yet established.

System manager(s) and address: Chief, Office of Industrial Services, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Individual or organization's claim and/or investigative reports.

Treasury/BEP 00.036

System name: Union Dues Allotments—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Employees who authorize or revoke Union dues allotments.

Categories of records in the system: An authorization for or revocation of voluntary union dues allotments.

Authority for maintenance of the system: Executive Order 11491, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Payroll Office employees to effect allotments of Union dues in accordance with voluntary determination of employee member. For additional uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: Indexed by name of employee.

Safeguards: Maintained in locked file cabinet; access limited to personnel in the Records & Payroll Sections.

Retention and disposal: Record maintained for length of time necessary to perform payroll activities; disposed when superseded by new card or on transfer or separation of employee whichever is earlier. Destroyed by shredding.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Authorization or revocation statement originated by employee.

Treasury/BEP 00.037

System name: Union Index—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: Name & Title of designated Union officials to include the President, Vice President, Secretary, Treasurer, & Stewards.

Categories of records in the system: Listing of recognized Union officials by title, bargaining unit, and jurisdiction.

Authority for maintenance of the system: Executive Order 11491, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by management personnel for the purpose of normal conduct of established Labor-Mgmt. Relations business. Copies provided to the Treasury Dept., U.S. Dept. of Labor and the Civil Service Commission as required by Treasury Personnel Manual. For additional uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: By Union Title.

Safeguards: Maintained in locked file; access limited to Labor—Mgmt Relations staff & Mgmt. officials as required.

Retention and disposal: Retained for duration of recognition of the Union and then destroyed by shredding.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Provided by recognized unions.

Treasury/BEP 00.038

System name: Unscheduled Absence Record—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All Bureau of Engraving & Printing employees who have had unscheduled absences.

Categories of records in the system: Record contains chronological documentation of unscheduled absences.

Authority for maintenance of the system: Federal Personnel Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by an employee's supervisor to record the number of times an employee has an unscheduled absence. This information is used by Employee Relations Branch for statistical reports depicting frequency rate for all Bureau employees. It can also be used as a basis for counseling an employee concerning overall job performance. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: By name.

Safeguards: Kept in locked file cabinets; access to these records is restricted to Supervisor and authorized timekeeping personnel.

Retention and disposal: These records are maintained during an employee's tenure with the Bureau and are destroyed three years after termination by shredding.

System manager(s) and address: Chief, Office of Industrial Relations, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Individual employee time & attendance record and employee's supervisor.

Treasury/BEP 00.039

System name: Work Performance Records—Treasury/BEP.

System location: Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Categories of individuals covered by the system: All employees and former employees of the Office of Audit.

Categories of records in the system: Detailed information supporting work performance records and reports, such as performance, evaluation, training, audit assignments, audit progress reports, audit working papers and audit files.

Authority for maintenance of the system: Public Law 656, 81st Congress, Bureau of Engraving & Printing Publication No. 7, dated July 17, 1973.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Chief, Office of Audit for work performance, administrative, management, and audit purposes to evaluate promotion, training, and reference material for future assignments. For additional routine uses see Appendix AA.

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

Storage: Maintained in file folders.

Retrievability: Cross referenced by name and audit number or title.

Safeguards: Area is locked after hours. In addition, there are specified locked controls in the area, depending on the importance for administrative purpose. Access limited to Audit personnel.

Retention and disposal: Retained six years three months; Destroyed by shredding.

System manager(s) and address: Chief, Office of Audit, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228.

Notification procedure: Superintendent, Management Services Division, Bureau of Engraving and Printing; 14th & C Sts., SW, Washington, D.C. 20228. Attn: Privacy Law Information.

Record access procedures: See notification above.

Contesting record procedures: See notification above.

Record source categories: Developed internally from within the Office of Audit or other Offices in the Bureau of Engraving and Printing or by referral documents.

Treasury/GFO 00.001

System name: Administrative Records—Treasury/GFO.

System location: Bureau of Government Financial Operations, U.S. Department of the Treasury, Washington, D.C. 20226.

Categories of individuals covered by the system: Bureau personnel.

Categories of records in the system: (1) Civil Defense Cards, (2) Motor Vehicle Drivers Permits, (3) Distribution List of individuals requesting various Treasury publications, (4) Motor Vehicle Accident Reports, (5) Parking Permits, (6) Treasury Credentials.

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: Used to provide information on holders of Civil Defense Cards, drivers permits, parking permits, accident reports, credentials and for servicing public on

Treasury publications. For additional routine uses see Appendix AA.

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

Storage: Hardcopy.

Retrievability: By name.

Safeguards: Locked containers.

Retention and disposal: (1) Destroy upon resignation, retirement or transfer; Hold—Individual no longer assigned relocation duties. (2) Destroy 3 years from date of separation or 3 years after rescission of authorization. (3) Destroy when superseded. (4) Indefinitely. (5) Destroy when superseded. (6) Destroy upon retirement, resignation or transfer.

System manager(s) and address: The Systems Manager is: Special Assistant (P.A.), Bureau of Government Financial Operations, U.S. Department of the Treasury, Room 600, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place, N.W., Washington, D.C. 20226.

Notification procedure: Inquiries under the Privacy Act of 1974 shall be addressed to the Systems Manager as shown above. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether this bureau maintains the record requested by the individual.

Record access procedures: Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Systems Manager at the address shown above. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1(c) concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures: See Access above.

Record source categories: Bureau personnel.

Treasury/GFO 00.002

System name: Check issue records for regular recurring benefit payments—Treasury/GFO.

System location: Bureau of Government Financial Operations, U.S. Department of the Treasury, Washington, D.C. 20226.

Categories of individuals covered by the system: (1) Beneficiaries of Title II of the Social Security Act, (2) Beneficiaries of Title XVI of the Social Security Act, (3) Beneficiaries of the Civil Service Retirement System, (4) Beneficiaries of the Railroad Retirement System, (5) Beneficiaries of the Foreign Service Retirement System, (6) Holders of Series H Bonds (interest payment).

Categories of records in the system: Check issue records for regular recurring benefit payments showing name, check number and symbol, address, account number, payment amount, and date of issuance for each of the categories of individuals listed above.

Authority for maintenance of the system: 5 U.S.C. 301; E.O. 6166, June 10, 1933.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Check issue verification for banking industry, Federal investigative agencies, Division of Check Claims of this bureau, and Departments and agencies for whom checks are issued, and payees. For additional routine uses see Appendix AA.

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

Storage: Microfilm-magnetic tape for categories of individuals 1 through 4, and category 6. Hard copy for category 5.

Retrievability: By account number.

Safeguards: Held in secure buildings.

Retention and disposal: Indefinitely.

System manager(s) and address: The Systems Manager is: Special Assistant (P.A.), Bureau of Government Financial Operations, U.S. Department of the Treasury, Room 600, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place, N.W., Washington, D.C. 20226.

Notification procedure: Inquiries under the Privacy Act of 1974 shall be addressed to the Systems Manager as shown above. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether this bureau maintains the record requested by the individual.

Record access procedures: Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Systems Manager at the address shown above. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR, Part 1(c) concerning requirements of this Department with respect to the Privacy Act of 1974. Telephone 202-964-8707.

Contesting record procedures: See Access above.

Record source categories: Vouchers certifications for check issuances by departments and agencies for whom checks are issued.

Treasury/GFO 00.003

System name: Claims and Inquiry Records on Treasury checks, U.S. currencies, and International claimants—Treasury/GFO.

System location: Bureau of Government Financial Operations, U.S. Department of the Treasury, Washington, D.C. 20226.

Categories of individuals covered by the system: (1) Payees and holders of Treasury checks, (2) Holders of mutilated currency, (3) Claimants awarded benefits under War Claims Act and International Claims Settlement Act of 1949.

Categories of records in the system: (1) Treasury check claim file: Treasury check, claim of payee with name and address, settlement action taken, (2) Mutilated currency claim file: Mutilated currency, name of bank assisting claim of individual, settlement action taken, (3) Awards for claims for losses sustained by individuals.

Authority for maintenance of the system: 5 U.S.C. 301; (1) For Treasury check claims—31 U.S.C. 71 with delegation of authority from Comptroller General of the U.S.; (2) Mutilated currency claims—31 CFR 100; (3) International claims—50 U.S.C. 2012; 22 U.S.C. 1627, 1641, 1642.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Check Claims—Information is used routinely by the Division of Check Claims and by indorsers on checks having liability, Federal and State investigative agencies, General Accounting Office, Congressional offices and media assistance offices on behalf of payee claimants. (2) Mutilated Currency Claims—Information in files is used routinely by employees of the Division of Cash Services. Information is furnished to the Internal Revenue Service for claims of 5000 dollars or more. (3) International Claims—Information in files is used by employees of the Division of Financial Management, claimants (awardees) and Foreign Claims Settlement Commission. (4) For additional routine uses see Appendix AA.

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

Storage: (1) Claim file folders, Card checks, microfilm. (2) Correspondence files. (3) Claim file folders.

Retrievability: (1) Name of payee and check number and symbol. (2) Alpha cross-reference to case number. (3) Name of claimant or alpha reference to claim number.

Safeguards: (1) Secured building, (2) Secured building, (3) Secured files in secured building.

Retention and disposal: (1) Claim files and checks; six years nine months; Microfilm—indefinitely. (2) Seven years. (3) Indefinitely.

System manager(s) and address: The Systems Manager is: Special Assistant (P.A.), Bureau of Government Financial Operations, U.S. Department of the Treasury, Room 600, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place, N.W., Washington, D.C. 20226.

Notification procedure: Inquiries under the Privacy Act of 1974 shall be addressed to the Systems Manager as shown above. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether this bureau maintains the record requested by the individual.

Record access procedures: Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Systems Manager at the address shown above. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1(c) concerning requirements of this Department with respect to the Privacy Act of 1974. Telephone 202-964-8707.

Contesting record procedures: See Access above.

Record source categories: (1) Individual payees of Treasury checks, indorsers of Treasury checks, investigative agencies, disbursing officers issuing checks, contesting claimants. (2) In-

dividual owners of mutilated currencies, commercial banks. (3) Awards certified to Treasury for payment by Foreign Claims Settlement Commission.

Treasury/GFO 00.004

System name: Freedom of Information Requests—Treasury/GFO.

System location: Bureau of Government Financial Operations, U.S. Department of the Treasury, Washington, D.C. 20226.

Categories of individuals covered by the system: Individuals requesting information.

Categories of records in the system: Correspondence pursuant to the Freedom of Information Act, internal processing documents and memoranda, referrals and copies of requested records.

Authority for maintenance of the system: Freedom of Information Act, 5 U.S.C. 552, 31 CFR Part 1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For reporting requirements as required by the Act; to respond to other Department officials who request information regarding persons making a FOI request; evaluation purposes and determination of volume of requests received and the impact on the current workload; preparation of budget; disclosures in accordance with Freedom of Information Act, to other agencies when required for coordination of response or referral; to Department of Justice for defending law suits; to Congressional Committees; for additional routine uses see Appendix AA.

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

Storage: File folders.

Retrievability: By name of requester(s) and date of request.

Safeguards: Filed in filing cabinet and released only to individuals with legitimate right to review.

Retention and disposal: In accordance with the provisions of the Act and Departmental records management procedures.

System manager(s) and address: Special Assistant (F.O.I.), Bureau of Government Financial Operations, U.S. Department of the Treasury, Room 600, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place, N.W., Washington, D.C. 20226.

Notification procedure: See system manager.

Record access procedures: See system manager.

Contesting record procedures: See system manager.

Record source categories: Individuals who make Freedom of Information Act requests. Federal officials responding to Freedom of Information Act requests and documents from official records.

Treasury/GFO 00.005

System name: GFO Personnel Records—Treasury/GFO.

System location: Bureau of Government Financial Operations, Penn. Ave. and Madison Place, N.W., Washington, D.C. 20226.

Categories of individuals covered by the system: All Employees of Bureau (Separated employees—in certain cases) and applicants.

Categories of records in the system: (A) Official Personnel Folder, (B) Personnel Roster, (C) Logs of SF-52's, (D) Locator Cards, (E) Chronological Journal File, (F) Service Record Card (SF-7), (G) Correspondence File, (H) Written Verifications of Employment, (I) Roster of Retirement Eligibles, (J) Summary of Training (Card File), (K) Training Course Nominations, (L) Evaluation of Training Program, (M) Tuition Assistance Files, (N) GED Test Scores, (O) Executive Development File, (P) Position Listings, (Q) Position Descriptions with Evaluation Statements, (R) Personnel Management Evaluation Survey Reports, (S) Position Maintenance Reviews, (T) Applicant Supply File, (U) Suitability File, (V) Incentive Awards Record, (W) Request for Certification File, (X) Merit Promotion File, (Y) Exit Interview File, (Z) Performance Appraisal File, (AA) Statistical Reports—(Which Show Names) (1) Personnel Status Report, (2) Monthly Retiree Report, (3) Monthly EFO report, (4) Direct Hire Authority Report, (BB) Registers Worked File, (CC) Statements of Employment and Financial Interest.

Authority for maintenance of the system: Executive Order 10561 dated 9-13-54, Federal Personnel Manual, and Title 5 of US Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A—(1) Process Personnel Actions, (2) Verifying Service Computation Date, (3) Evaluating Qualifications for Promotion. B—(1) Compile Statistical Reports, (2) For Budget and Manpower Planning, (3) For Promotion Infor-

mation, (4) Verification of Employment. C—(1) Control of Processing SF-52's, (2) Verify Receipt and Non Receipt of SF-52's. D—(1) Emergency Notifications, (2) Listing for Bureau Phone Directory, (3) Verification of Employment. E—(1) Regulatory Audits, (2) Personnel Management Evaluations, (3) Compilation of Data for Statistical Reports on Personnel Actions. F—(1) Tickler System, (2) A Comprehensive and Continuing Record of each Employee's Status, Skills, etc., (3) Control over budgeted positions both filled and vacant, (4) Cards on Separated Employees are used to verify prior employment. G—(1) Data for Statistical Reports, (2) Reference of prior actions. H—(1) Verify current or past employment. I—(1) Retirement Planning Program, (2) Projected Staffing Plans. J-K-L-M-N—(1) Record of all training—used for reference by Employment Development Specialist for planning future training as needed. O—(1) Reference by Appraisal Committee and Employee Development. P-Q—(1) Documented duties of employees for original allocated positions. R—(1) Audit and Evaluation of programs and specific positions. S—(1) Official Record of annual review of positions required by FPM. T—(1) Current Source of Recruitment. U—(1) Reconstruction of case if appealed or grieved, (2) Assure continuity in handling troubled employees, (3) Document positive efforts made to rehabilitate employees, (4) Serve as source documents for suspensions or reprimands as cases warrant. V—(1) Quarterly and Annual Reports, (2) Used as reference to assure approval of an award or amount of award consistent with regulations. W—(1) Used as statistical base for planning future recruitment activities and reports for Fiscal Year. X—(1) Reconstruction of actions if appeal is filed, (2) Assure compliance with FPM regulations. Y—(1) Annual statistical report of turnover rate and reasons for leaving, (2) Obtain feedback from supervisors on advisability of rehiring. Z—(1) To assure employee performance is at least satisfactory and/or at an acceptable level of competence. AA—(1) Maintenance of records for reporting and informational purposes. BB—(1) Maintain records of recruitment activities for staffing reports, (2) Used to assure compliance with CSC regulations. CC—(1) Used to determine conflict of interest or possible conflict of interest. DD—For additional routine uses see Appendix AA.

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

Storage: Hard copy and in some instances mag-tape.

Retrievability: Alphabetically by name—also in some instances by organization, then social security number.

Safeguards: Personnel Records are locked when unattended—Access is limited to Personnel Employees, Supervisors, Promotion Panels, Investigators from CSC, etc., Top Management, and members of Fair Employment Staff.

Retention and disposal: Records are maintained and disposed of in accordance with General Services Administration Schedule.

System manager(s) and address: The Systems Manager is: Special Assistant (P.A.), Bureau of Government Financial Operations, U.S. Department of the Treasury, Room 600, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place, N.W., Washington, D.C. 20226.

Notification procedure: Inquiries under the Privacy Act of 1974 shall be addressed to the Systems Manager as shown above. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether this bureau maintains the record requested by the individual. Telephone: 202-964-8707.

Record access procedures: Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Systems Manager at the address shown above. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1(c) concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures: See Access above.

Record source categories: Applicant Personnel Action Forms (SF-50), SF-171 (Completed by applicant), Payroll Actions References, Educational Institutions, etc.

Treasury/GFO 00.006

System name: Identification files on individuals cashing Treasury checks at the U.S. Treasury—Treasury/GFO.

System location: Bureau of Government Financial Operations, U.S. Department of the Treasury, Washington, D.C. 20226.

Categories of individuals covered by the system: All individuals not employed by the Treasury Department cashing Treasury checks.

Categories of records in the system: (1) Identifying information by name, address, date of birth, social security number, and agency responsible for issuance of check. (2) Film records with picture and other identification.

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: (1) Identification for check cashing purposes. (2) Identification for check cashing purposes and for apprehension of forgers. (3) For additional routine uses see Appendix AA.

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

Storage: Paper file in individual's handwriting; Film.

Retrievability: By name; By identification number and date.

Safeguards: Locked files; By contractor in secured building.

Retention and disposal: Indefinite.

System manager(s) and address: The Systems Manager is: Special Assistant (P.A.), Bureau of Government Financial Operations, U.S. Department of the Treasury, Room 600, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place, N.W., Washington, D.C. 20226.

Notification procedure: Inquiries under the Privacy Act of 1974 shall be addressed to the Systems Manager as shown above. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether this bureau maintains the record requested by the individual.

Record access procedures: Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Systems Manager at the address shown above. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1(c) concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures: See Access above.

Record source categories: Government Departments and Agencies requiring services of Treasury Department for issuance and payment of Treasury checks.

Treasury/GFO 00.011

System name: Individual Retirement Cards, SF-2806—Treasury/GFO.

System location: Bureau of Government Financial Operations, U.S. Department of the Treasury, Washington, D.C. 20226.

Categories of individuals covered by the system: Employees of the Bureau.

Categories of records in the system: Individual retirement cards maintained to record annual contribution to the Retirement Fund of each employee.

Authority for maintenance of the system: Public Law No. 142, February 14, 1922, 42 Stat 364.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by the Bureau to record annual contribution to the Retirement Fund. For additional routine uses see Appendix AA.

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

Storage: Card.

Retrievability: By name.

Safeguards: All persons requesting information are screened.

Retention and disposal: Retained for tenure of employment then transferred to CSC or other Government agency.

System manager(s) and address: Special Assistant (P.A.), Bureau of Government Financial Operations, U.S. Department of the Treasury, Room 600, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place, N.W., Washington, D.C. 20226.

Notification procedure: Inquiries under the Privacy Act of 1974 shall be addressed to the Systems Manager as shown above. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether this bureau maintains the record requested by the individual.

Record access procedures: Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Systems Manager at the address shown above or telephone him at the following number 202-964-8707. All individuals are urged to examine the rules of the U.S. Department of the Treasury concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures: See Access above.

Record source categories: Bureau personnel office.

Treasury/GFO 00.007

System name: Payroll & Pay Administration—Treasury/GFO.

System location: Bureau of Government Financial Operations, U.S. Department of the Treasury, Washington, D.C. 20226.

Categories of individuals covered by the system: All Employees of Bureau & Separated Employees.

Categories of records in the system: (A) Official Payroll Folder—(1) Levy & Garnishment Records; (2) SF-1192—Savings Bond Authorization; (3) SF-1198—Allotment of Pay to Savings Account; (4) SF-1189—Payment of Wages to Financial Organization; (5) Copies of SF-50—Notification of Personnel Action; (6) Withholding Tax Exemptions; (7) Copy of Health Benefit Designation; (8) Copy of Life Insurance Forms; (9) Payroll Change Slips; (10) Combined Federal Campaign Designations; (11) Copy of SF-1150. (B) Time & Attendance Reports (TUS-430)—(1) SF-71 Request for Leave; (2) Court Leave Documents; (3) Request for Advancement of Leave. (C) Payroll Comprehensive Listing—(1) Current Payment Information; (2) Record of Leave Earned and Used; (3) All Deductions from Pay; (4) Personnel Information such as Grade, Step, Salary, Title, Date of Birth, Social Security Number, Veterans Preference, Tenure, etc. (D) Payroll Control Registers.

Authority for maintenance of the system: Title 6—Pay, Leave & Allowances.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (A) Payroll Preparation; (B) Issuance of W-2 Forms for Tax Purposes; (C) For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Records are stored, maintained and disposed of in accordance with General Services Administration Schedules.

System manager(s) and address: The Systems Manager is: Special Assistant (P.A.), Bureau of Government Financial Operations, U.S. Department of the Treasury, Room 600, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place, N.W., Washington, D.C. 20226.

Notification procedure: Inquiries under the Privacy Act of 1974 shall be addressed to the Systems Manager as shown above. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether this bureau maintains the record requested by the individual.

Record access procedures: Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Systems Manager at the address shown above. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1(c) concerning requirements of this Department with respect to the Privacy Act of 1974. Telephone 202-964-8707.

Contesting record procedures: See Access above.

Record source categories: From individual Bureau employees.

Treasury/GFO 00.008

System name: Personnel Security Records—Treasury/GFO.

System location: Bureau of Government Financial Operations, Pennsylvania Avenue and Madison Place, N.W., Washington, D.C. 20226.

Categories of individuals covered by the system: Employees and applicants for position in the bureau.

Categories of records in the system: Results of full field investigations, national agency checks and written inquiries, and other limited investigations.

Authority for maintenance of the system: Public Law 81-733, Executive Order 10450, and Treasury Order 82.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The records are reviewed for purpose of granting clearances for employees to occupy nonsensitive and sensitive positions. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: The records are hard copy, filed alphabetically by name and stored in a safe cabinet secured with a combination lock. Access to the records is restricted to key personnel who have been granted clearances to occupy critical-sensitive positions. The records on employees are retained by the bureau during their employment. The records on applicants not selected and separated employees are returned to the investigating agency.

System manager(s) and address: The Systems Manager is: Special Assistant (P.A.), Bureau of Government Financial Operations, U.S. Department of the Treasury, Room 600, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place, N.W., Washington, D.C. 20226.

Notification procedure: Inquiries under the Privacy Act of 1974 shall be addressed to the Systems Manager as shown above. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether this bureau maintains the record requested by the individual. Telephone 202-964-8707.

Record access procedures: Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the System Manager at the address shown above. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1(c) concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures: See Access above.

Record source categories: Sources are applicants, employers, former employers, references, fellow workers, neighbors, educational authorities, military records, police and criminal records, credit records and others as required.

Treasury/GFO 00.012

System name: Precomplaint Counseling and Complaint Activities—GFO.

System location: B/GFO—U.S. Treasury Department, Treasury Annex No. 1 Madison Place & Penna. Ave., N.W. Washington, D.C. 20226.

Categories of individuals covered by the system: Employees seeking services of EEO Counselors.

Categories of records in the system: Monthly precomplaint activity reports from twelve Disbursing Centers and Headquarters.

Authority for maintenance of the system: 5 U.S.C. 7154; 42 U.S.C. 200e-16; E.O. 11478; and 5CFR 713.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used to keep records on EEO Counseling activities for monthly submission to Treasury.

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

Storage: File cabinet.

Retrievability: Filed by station and date of receipt.

Safeguards: Staff supervision during day. Records under lock and key.

Retention and disposal: Reports destroyed at the end of four years.

System manager(s) and address: Bureau of Government Financial Operations, Treasury Annex No. 1, Madison Place & Penna. Ave., N.W., Washington, D.C. 20226.

Notification procedure: Inquiries under the PRIVACY ACT of 1974 shall be addressed to the System Manager as shown above. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether this bureau maintains the record requested by the individual.

Record access procedures: Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Systems Manager at the address shown above. All individuals are urged to examine

the rules of the U.S. Department of the Treasury published in 31 CFR Part 1(c) concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures: See Access above.

Record source categories: Monthly submissions by Disbursing Centers and Headquarters.

Treasury/GFO 00.009

System name: Postal Savings Deposits—Treasury/GFO.

System location: Bureau of Government Financial Operations, U.S. Department of the Treasury, Washington, D.C. 20226.

Categories of individuals covered by the system: Postal Savings depositors.

Categories of records in the system: (1) Account cards of Open Deposits. (2) Paid cases from 1967. (c) Record of reissued certificates.

Authority for maintenance of the system: 39 U.S.C. 5225-5229; 31 CFR 257.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For payment by depositors, legal representatives, heirs; Internal Revenue Service Inspectors; for tax purposes. For additional routine uses see Appendix AA.

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

Storage: Filing system.

Retrievability: Name, account number, within Post Office, City, State, by Postal Data Center.

Safeguards: In secured filing system. Accessible only to office personnel.

Retention and disposal: Closed cases; disposed after payment (10 yrs). Open accounts; indefinitely.

System manager(s) and address: The Systems Manager is: Special Assistant (P.A.), Bureau of Government Financial Operations, U.S. Department of the Treasury, Room 600, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place, N.W., Washington, D.C. 20226.

Notification procedure: Inquiries under the Privacy Act of 1974 shall be addressed to the Systems Manager as shown above. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether this bureau maintains the record requested by the individual.

Record access procedures: Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Systems Manager at the address shown above. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1(c) concerning requirements of this Department with respect to the Privacy Act of 1974. Telephone 202-964-8707.

Contesting record procedures: See Access above.

Record source categories: Records received from the Post Office Department.

Treasury/GFO 00.010

System name: Records of Accountable Officers' authority with Treasury—Treasury/GFO.

System location: Bureau of Government Financial Operations, U.S. Department of the Treasury, Washington, D.C. 20226.

Categories of individuals covered by the system: (1) Disbursing Officers; (2) Certifying Officers; (3) Agent Cashiers; (4) Designated Agents.

Categories of records in the system: Records are maintained on the above listed accountable officers showing the designation or removal of the officer to act in the specified capacity pursuant to a proper authorization.

Authority for maintenance of the system: 5 U.S.C. 301; E.O. 6166, June 10, 1933.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Banking institutions, Federal Reserve Banks, Government agencies and other bureaus and offices of the Treasury Department for verification of information on authority of accountable officers to determine propriety of actions taken by such individuals. For additional routine uses see Appendix AA.

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

Storage: Card files.

Retrievability: By name.

Safeguards: Held in secured buildings. Disbursing Officers file is locked.

Retention and disposal: Indefinitely.

System manager(s) and address: The Systems Manager is: Special Assistant (P.A.), Bureau of Government Financial Operations, U.S. Department of the Treasury, Room 600, Treasury Annex No. 1, Pennsylvania Avenue and Madison Place, N.W., Washington, D.C. 20226.

Notification procedure: Inquiries under the Privacy Act of 1974 shall be addressed to the Systems Manager as shown above. All individuals making inquiries should provide with their request as much descriptive matter as is possible to identify the particular record desired. The Systems Manager will advise as to whether this bureau maintains the record requested by the individual.

Record access procedures: Individuals requesting information under the Privacy Act of 1974 concerning procedures for gaining access or contesting records should write to the Systems Manager at the address shown above. All individuals are urged to examine the rules of the U.S. Department of the Treasury published in 31 CFR Part 1(c) concerning requirements of this Department with respect to the Privacy Act of 1974.

Contesting record procedures: See Access above.

Record source categories: Government Departments and Agencies requiring services of Treasury Department for issuance and payment of Treasury checks.

Treasury/Mint 00.001

System name: Applicant and Information Forms for Great Plaza Parking Permits—Treasury/Mint.

System location: Administrative Services Division, Warner Building, Room 906, 501 13th Street, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Mint Federal employees.

Categories of records in the system: (a) Applicant's name; home address; home and office telephone numbers; place of employment; social security number; years of Federal service; make, model, year and license number of automobile.

Authority for maintenance of the system: Federal Property Management Regulations—Temporary Regulations D-47. 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Uses: To determine parking entitlement. (b) Categories of users: Appropriate agency and General Services Administration officials. (c) Purpose of use: Fair determination of parking permit entitlement. (d) For additional routine uses see Appendix AA.

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

Storage: Paper documents.

Retrievability: By applicant's name.

Safeguards: Combination safe file accessible by authorized personnel only.

Retention and disposal: Applications are maintained one year and then destroyed by shredding.

System manager(s) and address: Chief, Administrative Services Division, Bureau of the Mint, Warner Building, Room 906, 501 13th Street, N.W., Washington, D.C. 20220.

Notification procedure: See System Manager for address to which inquiries may be directed or address at which the individual may present a request as to whether a system contains records pertaining to himself. The individual must supply name.

Record access procedures: See System Manager for information on procedures for gaining access to and contesting records.

Contesting record procedures: See access above.

Record source categories: Information voluntarily provided by applicant.

Treasury/Mint 00.002

System name: Applicants for selection for the current Annual Assay Commission, and members of former Commissions.—Treasury/Mint.

System location: Treasury Building, Office of the Director of the Mint, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220. Warner Building, 501 13th St., N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Members of public seeking appointment by President to Assay Commission and their sponsors or endorsers, and members of former Commissions.

Categories of records in the system: Biographies of candidates and correspondence with applicants, sponsors and endorsers.

Authority for maintenance of the system: 31 U.S.C. 363.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Used to screen applicants for Presidential selection and to determine whether applicants had previously served on Assay Commission. (b) Used by appropriate agency officials and other Federal officials responsible for processing selection. (c) Used to select a committee to test the nation's coinage. (d) For additional routine uses see Appendix AA.

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

Storage: Paper documents.

Retrievability: By name.

Safeguards: Accessible only to appropriate agency and other Federal officials. Secured Files.

Retention and disposal: Retained permanently.

System manager(s) and address: Administrative Assistant to the Director, Treasury Building, Room 2064, 15th & Pennsylvania Avenue, N.W., Washington, D.C. 20220.

Notification procedure: Same as listed under System Manager. Individuals are required to furnish name.

Record access procedures: For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Information Systems and Documentation Branch, Bureau of the Mint, Room 912, Warner Building, Washington, D.C. 20220.

Contesting record procedures: See access above.

Record source categories: Information submitted voluntarily by general public and Congressional or other endorsers and sponsors.

Treasury/Mint 00.003

System name: Cash Receivable Accounting Information System—Treasury/Mint.

System location: Washington, DC, Bureau of the Mint, Warner Building, 501 13th Street, N.W., Philadelphia, PA, United States Mint, Independence Mall, Denver, CO, United States Mint, 320 West Colfax Avenue, San Francisco, CA, United States Assay Office, 155 Hermann Street, New York, NY, United States Assay Office, 32 Old Slip Street, Fort Knox, KY, United States Bullion Depository, San Francisco, CA, United States Old Mint, 88 Fifth Street.

Categories of individuals covered by the system: Employees and former employees of the Bureau of the Mint and the general public who have: (a) Served on jury duty when employed by the Bureau of the Mint. (b) Paid for lost government property belonging to the Mint. (c) Purchased numismatic items from Mint sales outlets.

Categories of records in the system: (1) Cash received from Mint employees who have served on jury duty or received witness fees. (2) Cash received from Mint employees and general public for lost government property, assay sample work and cash sales of over-the-counter numismatic items.

Authority for maintenance of the system: 5 USC 5537 (Fees for jury service); 31 USC 369 (Sale of numismatic items).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (A) Use: to record cash payment made to the Mint by employees, former employees and general public for services, lost government property and jury and witness fees. (B) Categories of Users: accounting office, managers and supervisors and government officials. (C) Purpose of Use—to account for cash receivables. (D) For additional routine uses see Appendix AA.

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

Storage: Paper Documents.

Retrievability: Name or number substitute.

Safeguards: Storage in filing cabinets with access by authorized accounting personnel.

Retention and disposal: General records control schedule, GAO rules and regulations, Bureau of the Mint Records Control Schedule, Destroyed in accordance with General Services Administration regulations.

System manager(s) and address: Treasury Department, Bureau of the Mint, 15th & Pa. Ave., N.W., Washington, D.C. 20220, Financial Manager; Philadelphia, PA 19106, United States Mint, Independence Mall, Budget and Accounting Officer; Denver, CO 80204, United States Mint, 320 West Colfax Avenue, Budget and Accounting Officer; San Francisco, CA 94102, United States Assay Office, 155 Hermann Street, Budget and Accounting Officer; New York, NY 10005, United States Assay Office, 32 Old Slip Street, Budget and Accounting Officer; Fort Knox, KY 40121, United States Bullion Depository, Officer in Charge; San Francisco, CA 94103, United States Old Mint, 88 Fifth Street, Budget and Accounting Officer.

Notification procedure: Same as included in System Manager. An employee or former employee is required to show an identification such as: (A) Employee identification, (B) Driver's license, (C) Other means of identification including social security number and date of birth.

Record access procedures: For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Information Systems and Documentation Branch, Bureau of the Mint, Room 912, Warner Building, Washington, D.C. 20220.

Contesting record procedures: See access above.

Record source categories: Bureau employees and appropriate agency officials.

Treasury/Mint 00.004

System name: Confidential Statements of Financial Interest—Treasury/Mint.

System location: Bureau of the Mint, Warner Building, 501 13th Street, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Employees, special employees, consultants, and advisers of the Bureau of the Mint who are required to file statements of financial interest.

Categories of records in the system: Statements of Employment and Financial Interests.

Authority for maintenance of the system: 18 U.S.C. 207, 208; 5 CFR 735.406 and 31 CFR 0.735-70 through 0.735-235.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Used to record, document, and maintain required financial interest statements submitted by Bureau employees under Treasury Department regulations. To refer, where there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, to the appropriate Federal agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. (b) Categories of users agency officials who have a need for the record in the performance of their duties and other Federal officials charged with law enforcement responsibilities. (c) Purpose to maintain current financial interest statements to avoid conflicts of interest. (d) For additional routine uses see Appendix AA.

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

Storage: Paper documents.

Retrievability: By name.

Safeguards: Files are kept in a locked metal file cabinet in an area accessible to authorized agency officials.

Retention and disposal: Records are maintained as long as the employee is with the Bureau.

System manager(s) and address: Personnel Officer, Bureau of the Mint, Warner Building, 501 13th Street, N.W., Washington, D.C. 20220.

Notification procedure: Same address and individual listed under System Manager. The employee may be required to show an identification such as: employee identification, driver's license; or other means of identification which will clearly identify an individual.

Record access procedures: For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Information Systems and Documenta-

tion Branch, Bureau of the Mint, Room 912, Warner Building, Washington, D.C. 20220.

Contesting record procedures: See access above.

Record source categories: Submitted by individual.

Treasury/Mint 00.005

System name: Current Employee Security Identification Record—Treasury/Mint.

System location: Philadelphia, Pennsylvania, United States Mint, Independence Mall, Denver, Colorado, United States Mint, 320 West Colfax Avenue, San Francisco, California, United States Assay Office, 155 Hermann Street, New York, New York, United States Assay Office, 32 Old Slip Street, West Point, New York, United States Bullion, Depository, Fort Knox, Kentucky, United States Bullion, Depository, San Francisco, California, United States Old Mint, 88 Fifth Street.

Categories of individuals covered by the system: Current Bureau of the Mint employees.

Categories of records in the system: Security information system used to verify proper admittance to restricted areas within the Mint facilities detailed under "LOCATION". The card record (Mint Form 8925) names the employee; provides date and place of birth; descriptive data on height, weight, hair and eyes; office and division in which employed; along with photograph and signature of the employee. The record also indicates approval by facility management for the issuance of personal identification to the employee, which is subsequently carried by the employee.

Authority for maintenance of the system: 40 U.S.C. 318—318c. Treasury Department Order No. 177-25, dated August 8, 1973.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Use: security access control. (b) Categories of Users: security Force Officers. (c) Purpose of Use: protection of persons and property. (d) For additional routine uses see Appendix AA.

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

Storage: Record is 5 inches x 8 inches card filed in Kardex Binder or circular-type index system.

Retrievability: Alphabetical by name.

Safeguards: Maintained in secure area by Security Force Officers.

Retention and disposal: Records are retained until separation of the employee and are destroyed upon termination in accordance with General Services Administration rules and regulations.

System manager(s) and address: Treasury Department, Bureau of the Mint, Warner Building, 501 13th St., N.W., Washington, D.C. 20220, Chief of Security (Coordinator); United States Mint, Independence Mall, Philadelphia, Pa. 19106, Security Officer (Facility Manager); United States Mint, 320 West Colfax Avenue, Denver, Colorado 80204, Security Officer (Facility Manager); United States Assay Office, 155 Hermann Street, San Francisco, Ca. 94102, Security Officer (Facility Manager); United States Assay Office, 32 Old Slip Street, New York, N.Y. 10005, Security Officer (Facility Manager); United States Bullion, Depository, West Point, New York 10996, Security Officer, NYAO (Facility Manager); United States Bullion Depository, Fort Knox, Kentucky 40121, Security Force Captain (Facility Manager); United States Old Mint, 88 Fifth Street, San Francisco, Ca. 94103, Security Force Captain (Facility Manager).

Notification procedure: Same as shown under System Manager. An employee is free to examine his card record upon request, after properly identifying himself as the employee of record. The following would be used to prove identity: (a) Employee identification; (b) Driver's license; (c) Other acceptable personal documents.

Record access procedures: For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief of Security, Bureau of the Mint, Room 1037, Warner Building, 501 13th Street, N.W., Washington, D.C. 20220.

Contesting record procedures: See access above.

Record source categories: Personal information provided by employee himself and identification approval by management staff.

Treasury/Mint 00.006

System name: Employee and Former Employee Travel and Training Accounting Information System—Treasury/Mint.

System location: Washington, DC, Bureau of the Mint, Warner Building, 501 13th Street, N.W., Philadelphia, PA, United States Mint, Independence Mall, Denver, CO, United States Mint, 320 West Colfax Avenue, San Francisco, CA, United States Assay Office, 155 Hermann Street, New York, NY, United States Assay Office, 32 Old Slip Street, Fort Knox, KY, United States Bullion Depository, San Francisco, CA, United States Old Mint, 88 Fifth Street.

Categories of individuals covered by the system: Employees and former employees of the Bureau of the Mint who have engaged in travel and training.

Categories of records in the system: (1) SF 1166 Voucher and Schedule of Payments with supporting documents such as: (A) SF 1012 Travel Voucher, (B) SF 1038 Application and Account for Advance of Funds, (2) Travel Authorities, (3) Government Travel Request SF 1169, (4) Request, Authorization, Agreement and Certification of Training.

Authority for maintenance of the system: 5 U.S.C. Chapter 41 (Training) and Chapter 57 (Travel).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (A) Use: To record travel and training information on all Mint employees and former employees for the purpose of making disbursements. (B) Categories of Users: Accounting office, managers and supervisors and government officials. (C) Purpose of Use: To administer the travel program of the Bureau in accordance with the regulations. Also, to assist the Personnel Division in administering the training program. (D) For additional routine uses see Appendix AA.

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

Storage: Paper Documents.

Retrievability: Name or number substitute.

Safeguards: Storage in filing cabinets with access by authorized accounting personnel.

Retention and disposal: General Records Control Schedule, GAO rules and regulations, Bureau of the Mint Records Control Schedule, Destroyed in accordance with General Services, Administration regulations.

System manager(s) and address: Treasury Department, Bureau of the Mint, 15th St. & Pa. Ave., N.W., Washington, DC 20220, Financial Manager; Philadelphia, PA 19106, United States Mint, Independence Mall, Budget and Accounting Officer; Denver, CO 80204, United States Mint, 320 West Colfax Avenue, Budget and Accounting Officer; San Francisco, CA 94102, United States Assay Office, 155 Hermann Street, Budget and Accounting Officer; New York, NY 10005, United States Assay Office, 32 Old Slip Street, Budget and Accounting Officer; Fort Knox, KY 40121, United States Bullion Depository, Officer in Charge; San Francisco, CA 94103, United States Old Mint, 88 Fifth Street, Budget and Accounting Officer.

Notification procedure: Same as included in System Manager. An employee or former employee is required to show an identification such as: (A) Employee identification, (B) Drivers' license, (C) Other names of identification including social security number and date of birth.

Record access procedures: For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Information Systems, and Documentation Branch, Bureau of the Mint, Room 912, Warner Building, Washington, D.C. 20220.

Contesting record procedures: See access above.

Record source categories: Bureau employees and appropriate agency officials.

Treasury/Mint 00.007

System name: Employee, Former Employee and Visitors, Occupational Safety and Health, Accident and Injuries Records; and Claims for Injuries or Damage Compensation Records—Treasury/Mint.

System location: Location and Category of Records Maintained: Washington, D.C., Bureau of the Mint, Warner Building, 501 13th St. N.W., Accident/Injury/Illness Records, Vehicle Accident, and Claims Against the Government; Philadelphia, Pennsylvania, United States Mint, Independence Mall, Accident/Injury/Illness Records, Health Records, Motor Vehicle Accident Data, Claims Against the Government, Safety Equipment Logs, and Operators

Training/Licensing; Denver, Colorado, United States Mint, 320 West Colfax Avenue, Accident/Injury/Illness Records, Health Records, Motor Vehicle Accident Data, Claims Against the Government, Safety Equipment Logs, and Operators Licensing; San Francisco, California, United States Assay Office, 155 Hermann Street, Accident/Injury/Illness Records, Health Records, Motor Vehicle Accident Data, Claims Against the Government, Safety Equipment Logs, and Operators Training/Licensing; New York, New York, United States Assay Office, 32 Old Slip Street, Accident/Injury/Illness Records, Health Records, Motor Vehicle Accident Data, Claims Against the Government, and Safety Equipment Logs; West Point, New York, United States Bullion Depository, Accident/Injury/Illness Records, and Motor Vehicle Accident Data; Fort Knox, Kentucky, United States Bullion Depository, Accident/Injury/Illness Records, Motor Vehicle Accident Data, and Claims Against the Government; San Francisco, California, United States Old Mint, 88 Fifth Street, Accident/Injury/Illness Records, Motor Vehicle Accident Data, Claims Against the Government, Safety Equipment Issuance, and Operators Licensing.

Categories of individuals covered by the system: Bureau of the Mint employees, former employees and visitors to Mint offices and facilities, reporting accidents and injuries occurring on Federal Government property or in areas immediately adjacent to Government property, for which potential liability exists due to local laws.

Categories of records in the system: (See Location).

Authority for maintenance of the system: 29 U.S.C. 668; E.O. 11807, 28 U.S.C. 2680 et seq.; 31 CFR Part 3, 31 U.S.C. 240-243; 31 CFR Part 4.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Information in these records is used for the following purposes: (a) Accident prevention, reduction and compilation of statistics, (b) Accident investigations, (c) Determination of Government liability under Federal Tort Claims Act, (d) Determination of Government liability under Military Personnel and Civilian Employees' Claims Act, (e) Determination of employee compensation benefits under Federal Employees' Compensation Act, (f) Health and medical treatment and care to employees and assuring industrial hygiene improvements, (g) Determining accountability for safety equipment. (2) Information in these records may be provided to appropriate agency officials and officials of the following other Federal agencies responsible for the administration of relevant programs or the evaluation, adjudication, litigation and settlement of claims by or against the Government: (a) Department of Labor, (b) Department of Justice, (c) General Accounting Office, (d) Civil Service Commission, (e) Social Security Administration, (3) For additional routine uses see Appendix AA.

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

Storage: Paper documents.

Retrievability: By name.

Safeguards: Locked containers in Safety Health Office available to authorized personnel only.

Retention and disposal: Records are retained in accordance with General Records Control Schedules, and Bureau of the Mint Records Control Schedules; and are destroyed in accordance with General Services Administration rules and regulations.

System manager(s) and address: Treasury Department, Bureau of the Mint, Warner Building, 501 13th Street, N.W., Washington, D.C. 20220, Safety Officer; United States Mint, Independence Mall, Philadelphia, PA 19106, Safety Manager; United States Mint, 320 West Colfax Avenue, Denver, Colorado 80204, Safety Manager; United States Assay Office, 155 Hermann Street, San Francisco, California 94102, Safety Manager; United States Assay Office, 32 Old Slip Street, New York, New York 10005, Safety Manager; United States Bullion Depository, West Point, New York 10996, Safety Manager; United States Bullion Depository, Fort Knox, Kentucky 40121, Safety Manager; United States Old Mint, 88 Fifth Street, San Francisco, California 94103, Safety Manager.

Notification procedure: Same as included in System Manager. An employee or former employee is required to show an identification such as: (A) Employee identification, (B) Driver's license, (C) Other means of identification including social security number and date of birth.

Record access procedures: For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Information Systems and Documenta-

tion Branch, Bureau of the Mint, Room 912, Warner Building, Washington, D.C. 20220.

Contesting record procedures: See access above.

Record source categories: Employees, supervisors, medical staff, general public, and visitors to the facilities of the Bureau of the Mint.

Treasury/Mint 00.008

System name: Employee Payroll, Personnel and Time and Attendance History Automated Recording System; Departmental Integrated Personal Services System (DIPS).—Treasury/Mint.

System location: Washington, D.C., Bureau of the Mint, Warner Building, 501 13th Street, N.W., Philadelphia, Pennsylvania, United States Mint, Independence Mall, Denver, Colorado, United States Mint, 320 West Colfax Avenue, San Francisco, California, United States Assay Office, 155 Hermann Street, New York, New York, United States Assay Office, 32 Old Slip Street, San Francisco, California, United States Old Mint, 88 Fifth Street.

Categories of individuals covered by the system: Employees and former employees of the Bureau of the Mint.

Categories of records in the system: Name; address; social security number; employment history; earnings record; personnel activity (actions); leave and attendance; labor cost distribution.

Authority for maintenance of the system: Payroll: Section 113 of the Budget and Accounting Procedures Act of 1950, as amended, 31 U.S.C. 66a. Personnel: 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Information derived from these records may be used for the following purposes: (a) The preparation and distribution of bi-weekly pay checks, allotments, payroll savings bonds, and the preparation of supporting documents of the above; (b) The preparation of labor distribution reports for reconciliation to cost accounts; (c) The preparation of personnel action forms, reports of personnel actions and status; (d) The compilation of statistical data relating to payroll, personnel and labor distribution. (2) Information in these records may be provided to appropriate agency officials and officials of the following other Federal agencies responsible for the administration of relevant programs: Department of Labor; Department of Justice; Civil Service Commission; Social Security Administration. (3) For additional routine uses see Appendix AA.

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

Storage: On magnetic tape, disk, punch cards, and paper records.

Retrievability: Name; social security number, employee number.

Safeguards: Master records are kept on magnetic tape/disk which is under program control; other records are maintained in limited access areas available to authorized personnel and are under further security as appropriate.

Retention and disposal: General Records and Control Schedule, GAO rules and regulations, Bureau of the Mint Records Control Schedule. Records kept on magnetic tape/disk are automatically deleted under program control. Other records are destroyed in accordance with GSA regulations.

System manager(s) and address: Treasury Department, Bureau of the Mint, Warner Building, 501 13th Street, N.W., Washington, D.C. 20220, DIPS Coordinator; United States Mint, Independence Mall, Philadelphia, PA 19106, DIPS Coordinator; United States Mint, 320 West Colfax Avenue, Denver, Colorado 80204, DIPS Coordinator; United States Assay Office, 155 Hermann Street, San Francisco, California 94102, DIPS Coordinator; United States Assay Office, 32 Old Slip Street, New York, New York 10005, DIPS Coordinator; United States Old Mint, 88 Fifth Street, San Francisco, CA 94103, DIPS Control Group, DIPS Coordinator.

Notification procedure: Same as System Manager. An employee or former employee is required to show an identification such as: (A) Employee identification; (B) Driver's license; (C) Other means of identification including social security number and date of birth.

Record access procedures: For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Information Systems and Documentation Branch, Bureau of the Mint, Room 912, Warner Building, Washington, D.C. 20220.

Contesting record procedures: Contest: See Access.

Record source categories: Department of Interior DIPS Group; Employees; Budget & Finance Divisions; Payroll Divisions;

Management & Organization Divisions; Personnel Divisions; Computer Generated; Field Office Cost Accountants; Security Officers; Time Keepers; Payroll and Personnel Technicians; Time & Leave Branch—Field Offices.

Treasury/Mint 00.009

System name: Employee-Supervisor Performance, Evaluation, Counseling and Time and Attendance Records—Treasury/Mint.

System location: San Francisco Old Mint, 88 Fifth Street, San Francisco, California. San Francisco Assay Office, 155 Hermann Street, San Francisco, California. Denver Mint, 320 West Colfax Avenue, Denver, Colorado. Washington, D.C., Bureau of the Mint, Warner Building, 501—13th Street, N.W. Philadelphia Mint, Independence Mall, Philadelphia, Pa. New York, N.Y., United States Assay Office, 32 Old Slip Street. Fort Knox, Kentucky, United States Bullion Depository, West Point, N.Y., United States Bullion Depository.

Categories of individuals covered by the system: Bureau of the Mint employees and former employees.

Categories of records in the system: Information necessary for managers and supervisors to effectively carry out supervisory responsibilities. Included are such records as: copies of personnel actions, performance appraisal including production and control, disciplinary actions, overtime reports, tardiness reports, work assignments, training reports, applications for employment, home addresses, leave reports, employee awards. (Supervisors maintain varying combinations of the above records. Some supervisors may maintain all or none of the above records depending upon the nature and size of the operation or organization and the number of individuals supervised.)

Authority for maintenance of the system: 5 U.S.C. 301 and FPM Supplement 990—1, Section 3.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Use—Employee performance, evaluation, counseling and operational control. Categories of Users—Managers and supervisors throughout the Mint. Purpose of Use—To effectively carry out their personnel management responsibilities. For additional routine uses see Appendix AA.

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

Storage: Paper documents maintained in folders.

Retrievability: By name.

Safeguards: Stored in file cabinets and desks of supervisors.

Retention and disposal: Retained as long as employee is under their supervision.

System manager(s) and address: Bureau of the Mint, Warner Building, 501 13th Street, N.W. 20220, Assistant Directors; United States Mint, Independence Mall, Philadelphia, Pa. 19106, Superintendent; United States Mint, 320 West Colfax Avenue, Denver, CO. 80204, Superintendent; United States Assay Office, 155 Hermann Street, San Francisco, CA. 94102, Officer-in-Charge; United States Assay Office, 32 Old Slip Street, New York, N.Y. 10005, Officer-in-Charge; United States Bullion Depository, Fort Knox, Kentucky 40121, Officer-in-Charge; United States Old Mint, 88 Fifth Street, San Francisco, CA. 94103, Officer-in-Charge; United States Bullion Depository, West Point, N.Y., Officer-in-Charge.

Notification procedure: Same as listed under system manager, Employee or former employee is required to show identification such as: I.D. card, driver's license.

Record access procedures: For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Information Systems and Documentation Branch, Bureau of the Mint, Room 912, Warner Building, Washington, D.C. 20220.

Contesting record procedures: Contest: See access above.

Record source categories: Employees; previous employers; and appropriate agency officials.

Treasury/Mint 00.017

System name: Equal Employment Opportunity (EEO) Complaint Counseling Records - Treasury/Mint.

System location: Washington, D.C., Bureau of the Mint, Warner Building, 501 - 13th Street, N.W.; Philadelphia, Pennsylvania, United States Mint, Independence Mall; Denver, Colorado, United States Mint, 320 West Colfax Avenue; San Francisco, California, United States Assay Office, 155 Hermann Street; New York, New

York, United States Assay Office, 32 Old Slip Street; San Francisco, California, United States Old Mint, 88 Fifth Street; and Fort Knox, Kentucky, United States Bullion Depository.

Categories of individuals covered by the system: Employees and applicants for employment at the Bureau of the Mint.

Categories of records in the system: Allegations of Discrimination and all evidence collected during the counseling process.

Authority for maintenance of the system: Public Law 92-261; Executive Order 11478; 5 CFR Part 713.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Use - Informal processing of employee complaints of discrimination. Categories of users - Agency officials who have a need for the records in the performance of their duties. Purpose of use - Informal resolution of complaints of discrimination.

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

Storage: Folders of paper documents.

Retrievability: By name.

Safeguards: Stored in file cabinets and desks of Counselors and EEO Officer.

Retention and disposal: Indefinite.

System manager(s) and address: EEO Officer, Bureau of the Mint, Warner Building, 501 - 13th Street, N.W., Washington, D.C. 20220; EEO Officer, United States Mint, Independence Mall, Philadelphia, Pennsylvania 19106; EEO Officer, United States Mint, 320 West Colfax Avenue, Denver, Colorado 80204; EEO Officer, United States Assay Office, 32 Old Slip Street, New York, New York 10005; EEO Officer, United States Assay Office, 155 Hermann Street, San Francisco, California 94102; EEO Officer, United States Old Mint, 88 Fifth Street, San Francisco, California 94103; EEO Officer, United States Bullion Depository, Fort Knox, Kentucky 40121.

Notification procedure: See System Manager for address to which inquiries may be addressed. The individual must supply name.

Record access procedures: For information on procedures for gaining access to and contesting records, individuals may contact the Systems Manager.

Contesting record procedures: See access above.

Record source categories: Information is voluntarily obtained from employee(s), management, applicants and pertinent documents.

Treasury/Mint 00.010

System name: Examination reports of coins forwarded to Mint from U.S. Secret Service—Treasury/Mint.

System location: Warner Building, 501 13th Street, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Individuals from whom U.S. Secret Service has seized coins suspected to be counterfeit or fraudulently altered.

Categories of records in the system: Reports prepared for U.S. Secret Service regarding the examination of the questioned coin or coins by Mint.

Authority for maintenance of the system: 18 U.S.C. 331, 485, 486, 489, 490 and 491.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Uses, to determine whether a coin is counterfeit or altered and submit report to U.S. Secret Service or other Federal agency charged with law enforcement responsibilities. To give expert testimony as to the coins examined in a criminal or civil proceeding before a Federal or state court. (b) Categories of users, agency officials who have a need for the records in the performance of their duties. (c) Purpose of use, to preserve the integrity of the coinage system by detecting counterfeit or altered coins and to assist in the enforcement of Federal counterfeiting statutes.

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

Storage: Paper documents.

Retrievability: By name.

Safeguards: Files are kept in locked metal file cabinets in area accessible only to authorized agency officials.

Retention and disposal: Retained in accordance with Bureau of the Mint Records Control Schedule.

System manager(s) and address: Assistant Director for Technology, Bureau of the Mint, Warner Building, 501 13th Street, N.W., Washington, D.C. 20220.

Notification procedure: This system is proposed for exemption elsewhere in the Federal Register.

Record access procedures: This system is proposed for exemption elsewhere in the Federal Register.

Contesting record procedures: Contest: This system is proposed for exemption elsewhere in the Federal Register.

Record source categories: This system is proposed for exemption elsewhere in the Federal Register.

Systems exempted from certain provisions of the act: This system is proposed for exemption elsewhere in the Federal Register.

Treasury/Mint 00.011

System name: General Correspondence—Treasury/Mint.

System location: Bureau of the Mint, Warner Building, 501 13th Street, N.W., Washington, D.C. United States Assay Office, 32 Old Slip, New York, NY. United States Old Mint, 88 Fifth Street, San Francisco, CA.

Categories of individuals covered by the system: Members of the public, Members of Congress, agency officials and other Federal agencies.

Categories of records in the system: Incoming correspondence and replies pertaining to the mission, function and operation of the Bureau of the Mint.

Authority for maintenance of the system: 31 U.S.C. 251, 253.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Use, to maintain documentation of information supplied by the agency to the correspondent. (b) Categories of users, appropriate agency officials. (c) Purpose of use, to provide documentation and reference for future correspondence. (d) For additional routine uses see Appendix AA.

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

Storage: Paper documents.

Retrievability: By name of correspondent.

Safeguards: Maintained in limited access area available only to appropriate agency officials.

Retention and disposal: In accordance with the General Services Administration's General Records Control Schedule and the Bureau of the Mint Records Control Schedule. Destroyed in accordance with General Services Administration regulations.

System manager(s) and address: Chief, Information Systems and Documentation Branch, Bureau of the Mint, Warner Building, 501 13th Street, N.W., Washington, D.C. 20220. Superintendent, United States Assay Office, 155 Hermann Street, San Francisco, California 94102. Officer-in-Charge, United States Old Mint, 88 Fifth Street, San Francisco, California 94103.

Notification procedure: See System Manager for addresses to which inquiries may be addressed and addresses at which the individual may present a request as to whether a system contains records pertaining to himself. The individual must supply name.

Record access procedures: For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Information Systems and Documentation Branch, Bureau of the Mint, Room 912, Warner Building, Washington, D.C. 20220.

Contesting record procedures: See access above.

Record source categories: The general public, Members of Congress, agency and other Federal officials.

Treasury/Mint 00.016

System name: Grievances. Union/Agency Negotiated—Treasury/Mint.

System location: Washington, DC, Bureau of the Mint, Warner Building, 501-13th Street, N.W.

Philadelphia, PA, United States Mint, Independence Mall. Denver, CO, United States Mint, 320 West Colfax Avenue. San Francisco, CA, United States Assay Office, 155 Hermann Street.

New York, NY, U.S. Assay Office, 32 Old Slip Street.

San Francisco, CA, U.S. Old Mint, 88 Fifth Street.

Ft. Knox, KY, United States Bullion Depository.

West Point, NY, West Point Bullion Depository.

Categories of individuals covered by the system: Employees and former employees of the Bureau of the Mint.

Categories of records in the system: This system of records contains information or documents relating to employee grievances filed under provisions of negotiated grievance procedures, including decision of appropriate third parties where applicable.

Authority for maintenance of the system: Executive Orders 11491, 11616, 11636 and 11838; negotiated agreements between Mint and exclusively recognized labor unions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) To process an employee grievance, including submission to an arbitrator and appeal to the Federal Labor Relations Council. (b) To refer a question of grievability or arbitrability to appropriate officials of the Department of Labor. (c) To provide information or disclose to the appropriate Federal agency in connection with civil litigation involving the Bureau of the Mint. (d) For additional routine uses see Treasury Appendix AA.

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

Storage: These records are maintained in file folders or binders.

Retrievability: These records are filed by the names of the individuals on whom they are maintained or by the subject of the grievance.

Safeguards: Access to and use of these records are limited to those agency officials whose official duties require such access.

Retention and disposal: Retained in accordance with the Bureau of the Mint Records Control Schedules and destroyed in accordance with General Service Administration rules and regulations.

System manager(s) and address: For current and former employees:

Personnel Officer, Bureau of the Mint, Department of the Treasury, 15th & Pennsylvania Ave., N.W., Washington, DC 20220.

Personnel Officer, U.S. Mint, Independence Mall, Philadelphia, PA 19106.

Personnel Officer, U.S. Mint, 320 Colfax Ave., Denver, CO 80204.

Personnel Officer, U.S. Assay Office, 155 Hermann Street, San Francisco, CA 94102.

Personnel Officer, U.S. Assay Office, 32 Old Slip Street, New York, NY 10005.

Personnel Officer, U.S. Old Mint, 88 Fifth Street, San Francisco, CA 94103.

Officer-in-Charge, U.S. Bullion Depository, Fort Knox, KY 40121.

Administrative Officer, West Point Bullion Depository, West Point, NY 10996.

Notification procedure: Individuals who have filed a grievance are aware of that fact and have been provided a copy of the record. They may, however, contact the Personnel Officer indicated above regarding the existence of such records pertaining to them. It is necessary to furnish information sufficient to verify the identity of the requester such as full name, date of birth, a brief description of the grievance and the approximate date of submission.

Record access procedures: Individuals who have filed a grievance about a decision or determination made by an agency or about conditions existing in an agency already have been provided a copy of the record. The contest, amendment, or correction of a grievance record is permitted during the prosecution of the grievance to whom the record pertains. However, after a grievance case has been closed, an individual may gain access to, or contest the official copy of the grievance record by writing the appropriate Personnel Officer indicated above. Individuals should provide their name, date of birth; a brief description of grievance and the approximate date of submission.

Contesting record procedures: See access above.

Record source categories: The sources of these records are indicated below. (a) Individual to whom the record pertains. (b) Agency officials. (c) Affidavits or statements from employee(s). (d) Testimonies of witnesses. (e) Official documents and correspondence relating to the grievance.

Treasury/Mint 00.012

System name: Investigatory Files on Theft of Mint Property—Treasury/Mint.

System location: Warner Building, 501 13th Street, N.W., Washington, D.C. 20220.

Categories of individuals covered by the system: Mint employees and members of public suspected of the theft of Government property.

Categories of records in the system: Name of individual; location of Mint facility; and theft item.

Authority for maintenance of the system: 18 U.S.C. 332, 641.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Uses, to investigate suspected theft of Government property on Mint premises. To refer, where there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, to the appropriate Federal agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation, or order issued pursuant thereto. (b) Categories of users, agency officials who have a need for the record in the performance of their duties and other Federal officials charged with law enforcement responsibilities. (c) Purpose, to safeguard and account for Government property; assist in enforcement of applicable Federal criminal statutes; and attempt to recoup value of property stolen. (d) For additional routine uses see Appendix AA.

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

Storage: Paper documents.

Retrievability: By name.

Safeguards: Files are kept in a locked metal file cabinet in an area accessible to authorized agency officials.

Retention and disposal: Retained in accordance with Bureau of the Mint Records Control Schedule and destroyed in accordance with General Services Administration rules and regulations.

System manager(s) and address: Chief, Office of Security, Bureau of the Mint, Warner Building, 501 13th Street, N.W., Washington, D.C. 20220.

Notification procedure: This system is proposed for exemption elsewhere in the Federal Register.

Record access procedures: This system is proposed for exemption elsewhere in the Federal Register.

Contesting record procedures: See access above.

Record source categories: This system is proposed for exemption elsewhere in the Federal Register.

Systems exempted from certain provisions of the act: This system is proposed for exemption elsewhere in the Federal Register.

Treasury/Mint 00.013

System name: Numismatic Coin Operations System (NUCOS) Records; Customer Mailing List and Order Processing Records for Coin Sets, Medals and Numismatic Items—Treasury/Mint.

System location: San Francisco, California, Old Mint, 88 Fifth Street, San Francisco, CA 94175. (Records concerning undelivered orders are maintained at the San Francisco Assay Office, 155 Hermann Street.)

Categories of individuals covered by the system: Customers for numismatic items.

Categories of records in the system: Names, addresses, order history of customers purchasing numismatic items and of individuals who wish to receive notification of numismatic offerings by the Mint.

Authority for maintenance of the system: 31 U.S.C. 324g, 324h, 369, 391(d); P.L. 89-81, P.L. 92-228; 31 CFR Part 92.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Use, generating order cards, acknowledgement cards, labels, and correspondence. (b) Categories of Users, appropriate agency officials. (c) Purposes of Use, to announce the availability of numismatic items produced by the Mint; process and acknowledge receipt of orders; process payments received from customers; mail and trace numismatic items ordered. (d) For additional routine uses see Appendix AA.

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

Storage: Magnetic tape, discs, paper and cards.

Retrievability: Name, customer number or order number.

Safeguards: CRT, password protection; only designated persons may request computer generated reports. Access to any information pertaining to any individuals' name is limited to only those individuals requiring the information to accommodate handling of transactions with the customers. Separation of functions; source documents maintained in one division and programming systems in another.

Retention and disposal: In accordance with the General Services Administration's General Records Control Schedule and the Bureau of the Mint Records Control Schedule. Destroyed in accordance with General Services Administration regulations. Order cards are retained two weeks, reports three months; they are then shredded. Customer names and addresses are maintained as long as they are active.

System manager(s) and address: Officer in Charge, San Francisco Old Mint, 88 Fifth Street, San Francisco CA 94175.

Notification procedure: Bureau of the Mint, 55 Mint Street, San Francisco, CA 94175. Individuals should supply order number as provided on order card or copy of both sides of cancelled check; customer number which appears on pre-punched order cards or on face of check.

Record access procedures: For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Information Systems and Documentation Branch, Bureau of the Mint, Room 912, Warner Building, Washington, D.C. 20220.

Contesting record procedures: See access above.

Record source categories: Members of the public; appropriate agency officials; and General Services Administration.

Treasury/Mint 00.014

System name: Purchases, Sales, Exchange and Assays of Precious Metals—Treasury/Mint.

System location: Washington, D.C., Bureau of the Mint, Warner Building, 501-13th Street, N.W. Philadelphia, PA, United States Mint, Independence Mall, Denver, CO, United States Mint, 320 West Colfax Avenue, San Francisco, CA, United States Assay Office, 155 Hermann Street, New York, NY, United States Assay Office, 32 Old Slip, San Francisco, CA, United States Old Mint, 88 Fifth Street.

Categories of individuals covered by the system: General public and Government agencies who had precious metal transactions with the Bureau of the Mint.

Categories of records in the system: Bar schedules, deposit tickets, reports on special assays, records of sales and purchases of precious metals.

Authority for maintenance of the system: 31 U.S.C. 327, 328, 335, 358, 360, 361, 362, 405a-1, 733 and 734. 31 CFR Parts 90 and 92.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Use, to record and accomplish sale, purchase, exchange or assay of precious metals. (b) Categories of users, appropriate agency officials and appropriate officials of the General Services Administration. (c) Purpose of use, to determine and verify that proper payments are made or correct charges are assessed for services rendered and to accomplish sale and purchase of precious metals. (d) For additional routine uses see Appendix AA.

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

Storage: Paper documents and computer magnetic tapes.

Retrievability: Name or assay number.

Safeguards: Metal file cabinet with locks and secured area available to authorized personnel only.

Retention and disposal: Bureau of the Mint Records Control Schedule.

System manager(s) and address: Treasury Department, Bureau of the Mint, 15th & Pa. Ave., N.W., Washington, D.C. 20220, Financial Manager, Philadelphia, PA 19106, United States Mint, Independence Mall, Budget and Accounting Officer; Denver, CO 80204, United States Mint, 320 West Colfax Avenue, Budget and Accounting Officer; San Francisco, CA 94102, United States Assay Office, 155 Hermann Street, Budget and Accounting Officer; New York, NY 10005, United States Assay Office, 32 Old Slip Street, Budget and Accounting Officer; San Francisco, CA 94103, United States Old Mint, 88 Fifth Street, Budget and Accounting Officer.

Notification procedure: Same as included in System Manager. Member of the general public or Government agency is required to produce proper identification to satisfy the System Manager.

Record access procedures: For information on procedures for gaining access to and contesting records, individuals may contact the following official: Chief, Information Systems and Documentation Branch, Bureau of the Mint, Room 912, Warner Building, Washington, D.C. 20220.

Contesting record procedures: Same as access above.

Record source categories: General public; agency officials; and other Federal agencies.

Treasury/Mint 00.015

System name: Redemption of Uncurrent or Mutilated Coins—Treasury/Mint.

System location: United States Assay Office, 32 Old Slip, New York, N.Y. 10005.

Categories of individuals covered by the system: General public; financial institutions; and other Government agencies.

Categories of records in the system: Records of names, addresses and reference numbers pertaining to those submitting mutilated or uncurrent coins for exchange.

Authority for maintenance of the system: 31 U.S.C. 317c; 31 CFR Part 100.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Uses, issuance of payments in exchange of coins. (b) Categories of users, appropriate agency officials. (c) Purpose of use, to insure that payments are made to proper individuals, banks or Government agencies. (d) For additional routine uses see Appendix AA.

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

Storage: Paper documents.

Retrievability: By name or reference number.

Safeguards: Metal file cabinet with lock.

Retention and disposal: Retained in accordance with Bureau of the Mint Records Control Schedule and destroyed in accordance with General Services Administration rules and regulations.

System manager(s) and address: Budget and Accounting Officer, United States Assay Office, 32 Old Slip Street, New York, New York 10005.

Notification procedure: See System Manager. Individual is required to supply name and if available reference and/or settlement number.

Record access procedures: For information on procedure for gaining access to and contesting records, individuals may contact the following official: Chief, Information Systems and Documentation Branch, Bureau of the Mint, Room 912, Warner Building, Washington, D.C. 20220.

Contesting record procedures: See access above.

Record source categories: General public, financial institutions, and other Government agencies.

Treasury/BPD 00.001

System name: Personnel and Administrative Records—Treasury/BPD.

System location: Bureau of the Public Debt: Washington, D.C.; Parkersburg, West Virginia; Ravenswood, West Virginia; Williamstown, West Virginia. Federal Records Center: St. Louis, Missouri.

Categories of individuals covered by the system: Past, present and prospective employees.

Categories of records in the system: All personnel records not mentioned in this system, but maintained at the Bureau, are considered to belong to the Civil Service Commission and will be reported by that agency. (1) Personnel Folders (Temporary side): Contain the following types of records or information apart from official records, but which may duplicate or supplement official records: Pre-employment records and vouchering; orientation records; requests for personnel action; requests for training; performance evaluation records; letters of reference; debt correspondence; correspondence between employee and personnel office; disciplinary action papers; duplicate copies of personnel actions; payroll, leave and retirement benefits data; compensation forms and reports relating thereto; and tax check records, reduction-in-force data; requests for outside employment; letters of reprimand;

and credit and employment verification. (2) Locator File: Contains the employee's office and home address and telephone numbers; emergency notification information and indication of permission or denial to disclose this information upon inquiry. (3) Applications for Employment File: Contains inquiries concerning employment, applicants' resumes and correspondence. (4) Upward Mobility Program Files: Contain but are not limited to, all pertinent information, such as applications, vouchering, correspondence, developmental plans and appraisal forms of candidates for said program. (5) Investigation Security Files: Contain background information and the results of investigations conducted by Internal Revenue Service, Secret Service, or other Federal agencies, on Bureau attorneys and certain other employees. (6) Awards Case Files: Contain reports and background data concerning awards for employees. (7) Informal Equal Employment Opportunity Complaint Files: contain records of informal EEO complaints and discussions thereon which have not reached the level of formal complaints. (8) Administrative Grievance Files: Contain informal or formal grievance complaints and background documentation thereon which do not fall within Union jurisdiction. (9) General Correspondence Files: Contain inquiry and reply letters and documentation concerning general administrative, policy, transactional and personnel matters. (10) Union-related Files: Contain formal and informal, contractual and administrative grievance complaints and background documentation thereon; reports of union dues participation. (11) Merit Promotion Files: Contain records of competitive promotion actions, including but not limited to vacancy announcements, candidates considered, assessments of candidates, and disposition of applications. (12) Exit Interview Files: Contain records of employee's critique of Bureau, final interview, and supervisors' recommendations. (13) Suitability Files: Contain information documenting the suitability for employment of prospective and current employees, such as arrest records, National Agency checks and background information. (14) Budget Files: (a) Employee Travel Records File: Contains travel vouchers, authorization and receipts for travel which an employee performed in connection with official business and which is reimbursable by government funds. (b) Comprehensive Listing of Employee Master File: Contains salary, grade, leave, retirement, health-life insurance, tax, payroll deduction and other information. (c) Time and Attendance Records: Contain the daily posting of employee's leave and/or attendance. (15) Medical Records File: contains pre-appointment and fitness-for-duty medical reports and records. (16) Disciplinary and Adverse Action File: contains all pertinent information, such as, but not limited to, statements and background information regarding such actions. (17) Confidential Financial Statements File: contains personal financial statements required by certain employees as defined in the Department's Minimum Standards of Conduct. (18) Classification Appeals File: contains statements and pertinent information relating to the adjudication of an appeal. (19) History of Employment File: contains service record cards.

Authority for maintenance of the system: Title 5 USC; Federal Personnel Manual; Executive Order 11478.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Within the Department of the Treasury, the aforementioned records are routinely used to determine the suitability of an applicant for employment; to verify an employee's orientation processing; to supplement official personnel records for clarification of personnel actions; to authorize deductions of state and/or local or District of Columbia taxes from an employee's salary for payroll functions; to provide information for determining the eligibility and suitability of an employee for promotion or award; to appraise an employee's performance following hiring or promotion; to judge the necessity for disciplinary action and to make record of the same; to inform an employee of his present leave and retirement benefits status; to make record of all correspondence exchanged between an employee and the Division of Personnel for reference purposes; to locate an employee in an emergency situation if the employee's permission was granted; to issue building passes and make record thereof; to record work-related injuries and illnesses and to process compensation therefor; to perform security investigations and to provide security clearance for attorneys and certain other employees in order to protect security information; to furnish Internal Revenue Service, Secret Service, and other Federal agencies with information in the course of their investigations; to document grievances or complaints of discrimination for purposes of hearing and passing decision on a case; to furnish management with information necessary for the hearing and resolution of administrative grievances; to record, analyze and approve travel expenditures; to furnish data needed by

the Division of Budget and Accounts in the performance of its duties relating to the estimating and accounting for budget expenditures, maintaining records, providing payroll data to the Fiscal Service Payroll Facility, Bureau of Government Financial Operations, to the individual employee, and to supervisors who have need of such information in the performance of their duties; to maintain records of correspondence for reference and precedence purposes; to provide Federal income tax filing information on employees, GS grade 12 and above, for the purpose of tax checks; to process and document merit promotion actions; and to conduct turnover studies.

Routine users of records within the Department are the Division of Personnel; the Division of Budget and Accounts; the Division of Management Services; the EEO Officers; Internal Revenue Service; Secret Service; and all other employees who have need of such information in the performance of their authorized duties.

Outside the Department of the Treasury, qualified information is routinely used to furnish other Federal Agencies with pre-employment information for hiring purposes; to verify debt complaints and employment data upon request by creditors; to respond to requests for information by Federal investigative agencies for the purpose of security or criminal investigation, and civil or criminal judicial proceedings; to provide data to the Civil Service Commission and other Federal agencies upon authorized requests; to supply data necessary for employee compensation; to provide union representatives and arbitrators, when applicable, with data needed in the performance of their duties and which is authorized for disclosure under the terms of the Union-Bureau contract; to disclose to Members of Congress who inquire on behalf of constituents; to disclose to next-of-kin, voluntary guardian and other representative or successor in interest of a deceased or incapacitated employee or former employee.

Routine users outside the Department are other Federal Agency Personnel Offices; the Civil Service Commission; U.S. Department of Labor, Office of Employees Compensation; State unemployment offices; union representatives and arbitrators, as qualified in the routine use; creditors; Federal agencies; Members of Congress and next-of-kin; voluntary guardian and other representative or successor in interest.

For Additional Routine Uses, see Appendix AA.

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

Storage: Electronic media, paper and microfilm.

Retrievability: By name, and in some cases social security number.

Safeguards: Information is contained in secure buildings, Federal Records Centers, or in areas which are occupied by officers and responsible employees of the Bureau who are subject to the Bureau's personnel screening procedures and the Treasury Department Code of Conduct. Information stored in electronic media is safeguarded by automatic data processing security procedures in addition to physical security measures.

Retention and disposal: Records are maintained in accordance with GSA and CSC retention schedules. All records are destroyed by incineration, maceration or shredding. Records in electronic media are electronically erased using accepted techniques.

System manager(s) and address: For Administrative records: Commissioner of the Public Debt, 15th and New York Avenue, N.W., Washington, D.C. 20226. For Personnel records: Director of Personnel, Bureau of the Public Debt, 13th and C Streets, S.W., Washington, D.C. 20226.

Notification procedure: Address Administrative inquiries and initial requests for correction of records to: Privacy Act Request, Commissioner of the Public Debt, 15th and New York Avenue, N.W., Washington, D.C. 20226, (202) 964-2427. Address Personnel inquiries and initial requests for correction of records to: Privacy Act Request, Director of Personnel, Bureau of the Public Debt, 13th and C Streets, S.W., Washington, D.C. 20226, (202) 964-7717; or Privacy Act Request, Personnel Officer, Savings Bond Operations Office, Bureau of the Public Debt, 200 Third Street, Parkersburg, West Virginia 26101, (304) 422-8551.

Record access procedures: Individuals who wish to request access to records relating to them or who wish to request correction of records they believe to be in error should submit such requests pursuant to the procedures set out below in compliance with the applicable regulations (31 CFR Part 1, Subpart C Sections 1.7 & 1.8; 31 CFR Part 323). Requests which do not comply fully with these procedures may result in noncompliance with the request but will be answered to the extent possible.

Requests for access to records: (1) All requests for access to records should be in writing, signed by the individual concerned, and, in order for the Privacy Act procedures to apply, clearly indicate that the request is made pursuant to the Privacy Act of 1974. The Bureau reserves the right to require additional verification of an individual's identity in certain cases. (2) The request must specify the Bureau system of records within which the desired records are located as well as the categories of records within the system. These categories are set out in the applicable system of records description. (3) Requests for records concerning a deceased or incapacitated individual should be accompanied by either evidence of the requester's appointment as legal representative of the individual or his estate or by a statement attesting that no such representative has been appointed and giving the nature of the relationship between the requester and the individual.

Requests for correction of records: (1) All requests by an individual for correction of records relating to him should be in writing, be signed by him, and, in order for the Privacy Act procedures to apply, state that the request is made pursuant to the Privacy Act of 1974. (2) The request for correction should specify: (a) the dates of the prior correspondence had with the Bureau concerning the records in question, (b) the specific records alleged to be incorrect, (c) the correction requested, and (d) the reasons therefor as well as any available evidence in support of the request.

Appeals from an initial denial of a request for correction of records: (1) All appeals from an initial denial of a request for correction of records must be in writing, be signed by the individual involved, and, in order for the Privacy Act procedures to apply, state that it is made pursuant to the Privacy Act of 1974. (2) All appeals must, to be handled under the Privacy Act procedures, be delivered to the address set forth for submission of appeals within 35 days of the individual's receipt of the initial denial of the requested correction. (3) All appeals must specify: (a) the records to which the appeal relates, (b) the date of the initial request made for correction of the records, and (c) the date that initial denial of the request for correction was received. (4) All appeals must also specify the reasons for the requester's disagreement with the initial denial of correction and should furnish any applicable evidence available in support of his appeal.

Contesting record procedures: See notification and access.

Record source categories: Information on records in the system is furnished by the individuals, by creditors, by supervisors, medical personnel, other employees, or as the result of security investigations.

Treasury/BPD 00.002

System name: United States Savings-Type Securities—Treasury/BPD.

System location: Bureau of the Public Debt, Washington, D.C. 20226 and Parkersburg, West Virginia 26101, Ravenswood, West Virginia 26164, Williamstown, West Virginia 26187, Federal Reserve Banks and Branches located at: Atlanta, Georgia; Baltimore, Maryland; Birmingham, Alabama; Boston, Massachusetts; Buffalo, New York; Charlotte, North Carolina; Chicago, Illinois; Cincinnati, Ohio; Cleveland, Ohio; Dallas, Texas; Denver, Colorado; Detroit, Michigan; El Paso, Texas; Jacksonville, Florida; Helena, Montana; Houston, Texas; Kansas City, Missouri; Little Rock, Arkansas; Louisville, Kentucky; Los Angeles, California; Memphis, Tennessee; Miami, Florida; Minneapolis, Minnesota; Nashville, Tennessee; New Orleans, Louisiana; New York, New York; Oklahoma City, Oklahoma; Omaha, Nebraska; Philadelphia, Pennsylvania; Pittsburgh, Pennsylvania; Portland, Oregon; Richmond, Virginia; Salt Lake City, Utah; San Antonio, Texas; San Francisco, California; Seattle, Washington and St. Louis, Missouri; and at Federal Records Centers located at: Waltham, Massachusetts; New York, New York; Philadelphia, Pennsylvania; Mechanicsburg, Pennsylvania; Washington, D.C.; East Point, Georgia; Chicago, Illinois; Kansas City, Missouri; Fort Worth, Texas; Denver, Colorado; San Francisco, California; Bell, California and Seattle, Washington.

Categories of individuals covered by the system: Present and former owners or first-named coowners of, claimants to, persons entitled to, and inquirers concerning United States savings-type securities and interest thereon—including but not limited to United States Savings Bonds, Savings Notes, Retirement Plan Bonds, and Individual Retirement Bonds. In addition, second-named coowners of Series G savings bonds.

Categories of records in the system: (1) Issuance: Records relating to registration, registers of issuance of securities and records of

correspondence in connection with issuance of savings-type securities. (2) Holdings: Records documenting ownership, status, payments by date and account numbers, including inscription information; interest activity; correspondence in connection with notice of change of name and address, non-receipt of interest and over- and under-payments of interest; numerical registers of ownership. Such records include information relating to savings-type securities held in safekeeping in conjunction with the Department's program to deliver such securities to the owners or persons entitled. (3) Transactions (redemptions, payments and reissues): Records which include securities transaction requests; interest activity; legal papers supporting transactions, applications for disposition or payment of securities and/or interest thereon of deceased or incapacitated owners; records of retired securities; check payment records. (4) Claims: Records including correspondence concerning lost, stolen, destroyed or mutilated savings-type securities, bonds of indemnity, legal documents supporting claims for relief and records of caveats entered. (5) Inquiries: Records of correspondence with individuals who have requested information concerning savings-type securities and/or interest thereon.

Authority for maintenance of the system: Second Liberty Bond Act, as amended (40 Stat. 288) and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Within the Department of the Treasury, the information contained in this system of records is routinely used in connection with the issuance of securities, the payment of interest thereon, processing of claims therefor, responding to inquiries thereon, processing of transactions therein and the redemption and retirement thereof. Users for these purposes are officials, authorized employees and agents of the Department for the purpose of administering the Public Debt of the United States. Information in this system is also routinely furnished to the Internal Revenue Service for use by officials and authorized employees for the purpose of facilitating collection of tax revenues by the United States. In addition to these uses within the Department, records concerning holdings are routinely disclosed outside the Department as follows: (1) To the next-of-kin, voluntary guardian, legal representative or successor in interest of a deceased or incapacitated owner of securities, and others entitled in connection with reissue, distribution or payment thereof; users for this purpose are as described for the purpose of assuring equitable and lawful disposition of securities and/or interest. (2) Information is routinely furnished, when appropriate, pertaining to securities to the United States Secret Service for inclusion in the National Crime Information Center of the Federal Bureau of Investigation, to the Department of Justice and to other Federal agencies; users for this purpose are law enforcement officials, for the purpose of reducing monetary losses of the United States and to aid in law enforcement. (3) Information is routinely disclosed pertaining to holdings of securities, interest thereon and transactions therein to the Department of Justice in connection with lawsuits to which the Department is a party; and to Trustees in Bankruptcy; users are Federal officials for the purpose of carrying out their duties. (4) Information is routinely disclosed to the Veterans Administration and selected veterans publications in connection with attempts to locate owners, or their next of kin or persons otherwise entitled to bonds undeliverable and being held in safekeeping by the Department. (5) Information regarding records of holdings of securities registered in coownership form is routinely disclosed to either coowner upon request. Information regarding records of holdings for securities registered in beneficiary form ("P.O.D.") is routinely disclosed to the beneficiary named thereon provided acceptable proof of death of the registered owner is submitted. (Note: If the request for disclosure is made by the second-named coowner, or by a beneficiary the name or social security number of the first-named person must be furnished, except in the case of Series G savings bonds.) (6) Information regarding holdings is routinely disclosed to Members of Congress who inquire on behalf of constituents. (7) For additional routine uses see Appendix AA.

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

Storage: Records in this system are stored in their original form in file cabinets, as information in electronic media or on microfilm.

Retrievability: Information can be retrieved alphabetically by name, bond serial numbers, or, in some cases, numerically by social security number. In the case of securities, except Series G savings bonds, registered in more than one name, information relating thereto can only be retrieved by the name or in some cases social security number of the first-named coowner.

Safeguards: Information is contained in secure buildings, Federal Records Centers, or in areas which are occupied by officers and responsible employees of either the Department who are subject to personnel screening procedures and the Treasury Department Code of Conduct, or by agents of the Department who are required by the Department to maintain proper control over records while in their custody. Additionally, since in most cases, numerous steps are involved in the retrieval process, unauthorized persons would be unable to retrieve information in a meaningful form. Information stored in electronic media is safeguarded by automatic data processing security procedures in addition to physical security measures.

Retention and disposal: Records of holdings are maintained permanently. Forms, documents and other legal papers which constitute the basis for transactions subsequent to original issue are maintained for such time as is necessary to protect the legal rights and interest of the U.S. Government and the persons affected, or otherwise until they are no longer historically significant. Other records are disposed of at varying intervals in accordance with records retention schedules reviewed and approved by the National Archives and Records Service, General Services Administration. All records are destroyed by shredding, incineration or maceration. Records in electronic media are electronically erased using accepted techniques.

System manager(s) and address: Commissioner of the Public Debt, 15th St. and New York Ave., N.W. Washington, D.C. 20226.

Notification procedure: Address inquiries to: Privacy Act Request, Assistant Commissioner of the Public Debt, Savings Bond Operations Office, 200 Third Street, Parkersburg, West Virginia 26101, (304) 422-8551. Inquiries should include the full name, social security number, address and security serial number(s), if known.

Record access procedures: Individuals who wish to request access to records relating to them or who wish to request correction of records they believe to be in error should submit such requests pursuant to the procedures set out below in compliance with the applicable regulations (31 CFR Part 1, Subpart C Sections 1.7 & 1.8; 31 CFR Part 323). Requests which do not comply fully with these procedures may result in noncompliance with the request but will be answered to the extent possible.

Requests for access to records: (1) All requests for access to records must be in writing, signed by the individual concerned, and, in order for the Privacy Act procedures to apply, clearly indicate that the request is made pursuant to the Privacy Act of 1974. The Bureau reserves the right to require additional verification of an individual's identity. (2) The request must specify the Bureau system of records within which the desired records are located as well as the categories of records within the system. These categories are set out in the applicable system of records description. (3) In the case of requests for information concerning holdings of securities, the type of security involved (e.g., Series E savings bond, Series H savings bond, savings note, retirement plan bond, etc.) must be specified. Additionally, the request should, to the extent possible, specify the approximate date of issue, serial number(s) and exact form of registration, including social security number and address. Requests which do not furnish all or some of the above information will be complied with to the extent possible but may be subject to the requirement that additional identificatory evidence be furnished. (4) Requests for information concerning records of holdings of securities except Series G savings bonds registered in coownership form must be accompanied by the name and, wherever possible, social security number of the first-named coowner. Requests for information concerning securities registered in beneficiary form must also be accompanied by the name and social security number of the owner thereof and, if made by the beneficiary, must be accompanied by proof of death of the registered owner. (5) Requests for records of holdings or other information concerning a deceased or incapacitated individual should be accompanied by either evidence of the requester's appointment as legal representative of the individual or his estate or by a statement attesting that no such representative has been appointed and giving the nature of the relationship between the requester and the individual.

Requests for correction of records: (1) All requests by an individual for correction of records relating to him should be in writing, be signed by him, and, in order for the Privacy Act procedures to apply, state that the request is made pursuant to the Privacy Act of 1974. (2) The request for correction should specify: (a) the dates of the prior correspondence had with the Bureau concerning the records in question, (b) the specific records alleged to be incorrect.

(c) the correction requested, and (d) the reasons therefor, as well as any available evidence in support of the request.

Appeals from an initial denial of a request for correction of records: (1) All appeals from an initial denial of a request for correction of records must be in writing, be signed by the individual involved and, in order for the Privacy Act procedures to apply, state that it is made pursuant to the Privacy Act of 1974. (2) All appeals must, to be handled under the Privacy Act procedures, be delivered to the address set forth for submission of appeals within 35 days of the individual's receipt of the initial denial of the requested correction. (3) All appeals must specify: (a) the records to which the appeal relates, (b) the date of the initial request made for correction of the records, and (c) the date that initial denial of the request for correction was received. (4) All appeals must also specify the reasons for the requestor's disagreement with the initial denial of correction and should furnish any applicable evidence available in support of his appeal.

Contesting record procedures: See notification and access.

Record source categories: Information on records in this system is furnished by the individuals or their authorized representatives listed in "Categories of Individuals," by issuing agents for securities, or is generated within the system itself.

Treasury/BPD 00.003

System name: United States Securities (Other than Savings-Type Securities)—Treasury/BPD.

System location: Bureau of the Public Debt, Washington, D.C. 20226, Ravenswood, West Virginia 26164, Williamstown, West Virginia 26187, Federal Reserve Banks and Branches located at: Atlanta, Georgia; Baltimore, Maryland; Birmingham, Alabama; Boston, Massachusetts; Buffalo, New York; Charlotte, North Carolina; Chicago, Illinois; Cincinnati, Ohio; Cleveland, Ohio; Dallas, Texas; Denver, Colorado; Detroit, Michigan; El Paso, Texas; Jacksonville, Florida; Helena, Montana; Houston, Texas; Kansas City, Missouri; Little Rock, Arkansas; Louisville, Kentucky; Los Angeles, California; Memphis, Tennessee; Miami, Florida; Minneapolis, Minnesota; Nashville, Tennessee; New Orleans, Louisiana; New York, New York; Oklahoma City, Oklahoma; Omaha, Nebraska; Philadelphia, Pennsylvania; Pittsburgh, Pennsylvania; Portland, Oregon; Richmond, Virginia; Salt Lake City, Utah; San Antonio, Texas; San Francisco, California; Seattle, Washington and St. Louis, Missouri; and at Federal Records Centers located at: Waltham, Massachusetts; New York, New York; Philadelphia, Pennsylvania; Mechanicsburg, Pennsylvania; Washington, D.C.; East Point, Georgia; Chicago, Illinois; Kansas City, Missouri; Fort Worth, Texas; Denver, Colorado; San Francisco, California; Bell, California and Seattle, Washington.

Categories of individuals covered by the system: Present owners of, former owners of, subscribers to, claimants to, persons entitled to and inquirers concerning United States Treasury Securities (except savings-type securities) and interest thereon and such securities for which the Treasury acts as agent and interest thereon, including but not limited to Treasury Bonds, Notes and Bills, Adjusted Service Bonds, Armed Forces Leave Bonds, securities of the Federal Financing Bank, the Federal Housing Administration and the Farm Credit Administration.

Categories of records in the system: (1) Issuance: Records relating to tenders, bids, subscriptions, advices of shipment, requests (applications) for original issue and correspondence concerning erroneous issue and non-receipt of securities. (2) Holdings: Records of ownership and interest activity on registered United States securities (other than savings-type securities); change of name and address notices; correspondence concerning errors in registration, non-receipt of interest, over- and under-payments of interest; records of interest activity; records of unclaimed accounts; and letters concerning the New York State tax exemption for veterans of World War I. (3) Transactions (redemptions, payments, reissues, transfers and exchanges): Records which include securities transaction requests; legal papers supporting transactions; applications for transfer, disposition or payment of securities of deceased or incompetent owners; records of Federal estate tax transactions; file of certificates of ownership covering paid overdue bearer securities; records of erroneous redemption transactions; records of retired securities; and check payment records. (4) Claims: Records including correspondence concerning lost, stolen, destroyed or mutilated United States securities (other than savings-type securities) or securities for which the Treasury acts as agent and interest coupons thereon, bonds of indemnity, legal documents supporting claims for relief and records of caveats entered. (5) Inquiries: Records of cor-

respondence with individuals who have requested information concerning United States Treasury securities (other than savings-type securities) or securities for which the Treasury acts as agent.

Authority for maintenance of the system: Second Liberty Bond Act, as amended (40 Stat. 288).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Within the Department of the Treasury, the information contained in this system of records is routinely used in connection with the issuance of securities, the payment of interest thereon, processing of claims therefor, responding to inquiries thereon, processing of transactions therein and the redemption and retirement thereof. Users for these purposes are officials, authorized employees and agents of the Department for the purpose of administering the Public Debt of the United States. Information in this system is also routinely furnished to the Internal Revenue Service for use by officials and authorized employees for the purpose of facilitating collection of tax revenues by the United States. In addition to these uses within the Department, records concerning holdings are routinely disclosed outside the Department as follows: (1) To the next-of-kin, voluntary guardian, legal representative or successor in interest of a deceased or incapacitated owner of securities and others entitled in connection with transfer, exchange, distribution or payment thereof; users for this purpose are as described for the purpose of assuring equitable and lawful disposition of securities and/or interest. (2) Information is routinely furnished pertaining to securities reported as lost or stolen to the United States Secret Service for inclusion in the National Crime Information Center of the Federal Bureau of Investigation, Department of Justice and to other Federal agencies; users for this purpose are law enforcement officials, for the purpose of reducing monetary losses of the United States and to aid in law enforcement. (3) Information is routinely disclosed pertaining to holdings of securities and transactions therein to the Department of Justice in connection with lawsuits to which the Bureau is a party; users are law enforcement officials for the purpose of administration of justice. (4) Information concerning holdings of Armed Forces Leave Bonds is routinely furnished to the Veterans Administration in connection with redemption or disposition of these securities. Users of the resultant information furnished by the Veterans Administration are officers and authorized employees of the Bureau, for the purpose of making proper disposition of these bonds. (5) Information regarding records of holdings of securities registered in the names of two or more owners is routinely disclosed to either owner upon his request. (Note: requests for disclosure by owners other than the first-named owner should include the name or social security number of the first-named owner.) (6) Information regarding holdings is routinely disclosed to Members of Congress who inquire on behalf of constituents. (7) For additional routine uses see Appendix AA.

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

Storage: Records in this system are stored in their original paper form and as information in electronic media and on microfilm.

Retrievability: Information can be retrieved alphabetically by name or, in some cases, numerically by social security number. In the case of securities registered in more than one name, which matured prior to January 1, 1973, information relating thereto can only be retrieved by the name or social security number of the first-named owner.

Safeguards: Information is contained in secure buildings, Federal Records Centers, or in areas which are occupied by officers and responsible employees of either the Department who are subject to personnel screening procedures and the Treasury Department Code of Conduct, or by Federal Reserve Banks and Branches as Fiscal Agents. Additionally, since in most cases, numerous steps are involved in the retrieval process, unauthorized persons would be unable to retrieve information in a meaningful form. Information stored in electronic media is safeguarded by automatic data processing security procedures in addition to physical security measures.

Retention and disposal: Records of holdings are maintained permanently. Forms, documents and other legal papers which constitute the basis for transactions subsequent to original issue are maintained for such time as is necessary to protect the legal rights and interests of the U.S. Government and the persons affected or otherwise until they are no longer historically significant. Other records are disposed of at varying intervals in accordance with records retention schedules reviewed and approved by the National Archives and Records Service, General Services Administration.

All records are destroyed by shredding, incineration or maceration. Records in electronic media are electronically erased using accepted techniques.

System manager(s) and address: Commissioner of the Public Debt, 15th St. and New York Avenue, N.W., Washington, D.C. 20226.

Notification procedure: Address inquiries and initial requests for correction of records to: Privacy Act Request, Assistant Commissioner of the Public Debt, 13th and C Streets, S.W., Washington, D.C. 20226, (202) 964-7994. Inquiries should include the full name and social security number of the inquirer.

Record access procedures: Individuals who wish to request access to records relating to them or who wish to request correction of records they believe to be in error should submit such requests pursuant to the procedures set out below in compliance with the applicable regulations (31 CFR Part 1, Subpart C Sections 1.7 and 1.8; 31 CFR Part 323). Requests which do not comply fully with these procedures may result in noncompliance with the request but will be answered to the extent possible.

Requests and access to records: (1) All requests for access to records must be in writing, signed by the individual concerned, and, in order for the Privacy Act procedures to apply, clearly indicate that the request is made pursuant to the Privacy Act of 1974. The Bureau reserves the right to require additional verification of an individual's identity. (2) The request must specify the Bureau system of records within which the desired records are located as well as the categories of records within the system. These categories are set out in the applicable system of records description. (3) In the case of requests for information concerning records of holdings of securities, the type of security involved (e.g., Treasury Note, Armed Forces Leave Bond, Adjusted Service Bond, etc.) must be specified. Additionally, the request should, to the extent possible, specify: the loan and issue thereof, approximate date of issue, denomination, serial number and form of registration, including address. Requests which do not furnish some or all of the latter information will be complied with to the extent possible but may be subject to the requirement that additional identificatory evidence be furnished. (4) Requests for records of holdings of securities which matured prior to January 1, 1973 registered in the name of more than one person must include the name and, wherever possible, social security number of the first-named owner. (5) Requests for records of holdings or other information concerning a deceased or incapacitated individual must be accompanied by either evidence of the requester's appointment as legal representative of the individual or his estate or by a statement attesting that no such representative has been appointed and giving the nature of the relationship between the requester and the individual.

Requests for correction of records: (1) All requests by an individual for correction of records relating to him should be in writing, be signed by him, and, in order for the Privacy Act procedures to apply, state that the request is made pursuant to the Privacy Act of 1974. (2) The request for correction should specify: (a) the dates of the prior correspondence had with the Bureau concerning the records in question, (b) the specific records alleged to be incorrect, (c) the correction requested, and (d) the reasons therefor as well as any available evidence in support of the request.

Appeals from an initial denial of a request for correction of records: (1) All appeals from an initial denial of a request for correction of records must be in writing, be signed by the individual involved and, in order for the Privacy Act procedures to apply, state that it is made pursuant to the Privacy Act of 1974. (2) All appeals must, to be handled under the Privacy Act procedures, be delivered to the address set forth for submission of appeals within 35 days of the individual's receipt of the initial denial of the requested correction. (3) All appeals must specify: (a) the record to which the appeal relates, (b) the date of the initial request made for correction of the records, and (c) the date that initial denial of the request for correction was received. (4) All appeals must also specify the reasons for the requestor's disagreement with the initial denial of correction and should furnish any applicable evidence available in support of his appeal.

Contesting record procedures: See Notification and Access above.

Record source categories: Information contained in records in the system is furnished by individuals listed in "Categories of Individuals" or those specifically authorized by the individuals to act on their behalf; or is generated within the system itself.

Treasury/Comptroller 00.001

System name: Annual Employee Leave
Record—Treasury/Comptroller.

System location: 490 L'Enfant Plaza East, Washington, D.C. 20219.

Categories of individuals covered by the system: Employees of the Comptroller.

Categories of records in the system: Control.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Leave reference, Personal advice, Leave performance. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name.

Safeguards: desk file.

Retention and disposal: 3 years.

System manager(s) and address: Director, Administrative Operations Division.

Notification procedure: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Record access procedures: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Contesting record procedures: See Access above.

Record source categories: Employees of the Comptroller.

Treasury/Comptroller 00.002

System name: Attendance and Leave records of Comptroller of the Currency employees—Treasury/Comptroller.

System location: Comptroller of the Currency, Personnel Management Division, 490 L'Enfant Plaza S.W., Washington, D.C. 20219.

Categories of individuals covered by the system: Employees of Comptroller of the Currency.

Categories of records in the system: Record of Employee Attendance.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Official work time of each employee and verification of leave taken. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Social Security Number.

Safeguards: Limited access to locked cabinet.

Retention and disposal: Twelve months and then disposal by shredding.

System manager(s) and address: Comptroller of the Currency, Director of Personnel.

Notification procedure: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Record access procedures: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Contesting record procedures: See Access above.

Record source categories: Time and Attendance Personnel, Personnel Management Division, 490 L'Enfant Plaza, S.W., Washington, D.C. 20219.

Treasury/Comptroller 00.003

System name: Attorneys file—Treasury/Comptroller.

System location: Comptroller of the Currency, 490 L'Enfant Plaza, Washington, D.C. 20219.

Categories of individuals covered by the system: Attorneys in Bank Operations Division.

Categories of records in the system: List of Attorneys work products in chronological order.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Utilized for reference purposes to assist in the resolution of new issues which are similar to previously resolved ones. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Indexed by the name of the attorneys.

Safeguards: File cabinet.

Retention and disposal: Records are not destroyed.

System manager(s) and address: Comptroller of the Currency, Assistant Chief Counsel, 409 L'Enfant Plaza, Washington, D.C. 20219.

Notification procedure: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Record access procedures: Special Assistant to the Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Contesting record procedures: See Access above.

Record source categories: Attorneys in Bank Operations Divisions.

Treasury/Comptroller 00.004

System name: Consumer Complaint Letter
File—Treasury/Comptroller.

System location: Comptroller of the Currency, 490 L'Enfant Plaza, Washington, D.C. 20219.

Categories of individuals covered by the system: Persons who file complaints against banks.

Categories of records in the system: This system contains a series of cards setting forth the name, address, bank complained of, date of incoming complaint letter and attorney assigned to examine said complaint.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Files are utilized to determine whether individual has previously filed a complaint with this Office, the date of complaint and the disposition. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Indexed alphabetically by name of complaining consumer.

Safeguards: Records are in unlocked file drawers.

Retention and disposal: The records are retained in perpetuity.

System manager(s) and address: Comptroller of the Currency, Assistant Chief Counsel, 409 L'Enfant Plaza, Washington, D.C. 20219.

Notification procedure: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Record access procedures: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Contesting record procedures: See Access above.

Record source categories: Persons filing complaints against national banks.

Treasury/Comptroller 00.005

System name: Daily Absentee Reports of Comptroller of the Currency employees Treasury/Comptroller.

System location: Comptroller of the Currency, 490 L'Enfant Plaza East, Washington, D.C. 20219.

Categories of individuals covered by the system: Employees of the Comptroller.

Categories of records in the system: List of absent personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 9 and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Analysis of daily absences. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name of employee.

Safeguards: Protected by roving guard after working hours.

Retention and disposal: Retained for one year and then destroyed.

System manager(s) and address: Comptroller of the Currency, Branch Chief, 490 L'Enfant Plaza East, Washington, D.C. 20219.

Notification procedure: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Record access procedures: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Contesting record procedures: See Access above.

Record source categories: Employees records.

Treasury/Comptroller 00.006

System name: Employee Locator Map—Treasury/Comptroller.

System location: Comptroller of the Currency, 490 L'Enfant Plaza East, Washington, D.C. 20219.

Categories of individuals covered by the system: Comptroller employees.

Categories of records in the system: Personal records.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 3 U.S.C. 501.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Assist employees in the formation of car pools. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: By name of individual employee.

Safeguards: Protected by roving guard after working hours.

Retention and disposal: Retained while employed and then destroyed.

System manager(s) and address: Comptroller of the Currency, Director, Administrative Operations Division, 490 L'Enfant Plaza East, Washington, D.C. 20219.

Notification procedure: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Record access procedures: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Contesting record procedures: See Access above.

Record source categories: Employees of the Comptroller.

Treasury/Comptroller 00.018

System name: Employee Management and Planning, Employee Relations, Incentive Awards, Performance Evaluation—Treasury/Comptroller.

System location: Comptroller of the Currency, Personnel Management Division, 490 L'Enfant Plaza S.W., Washington, D.C. 20219.

Categories of individuals covered by the system: Employees of Comptroller of the Currency.

Categories of records in the system: Training, Executive development training program files, Training requests, cancellation and completion records, Reference files, Seminar work shop records, In-house training plan files, Training reports, Individual employee training plans, Reference material, private and public training attendance files, Training announcements.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine uses are associated with the employee's work record, grade progress, training, etc. The users are authorized personnel and officials within the division and the purpose is to assure proper training, progress, ex-

executive development, etc. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: By name of employee.

Safeguards: Files are available only to authorized personnel within the personnel division for official action.

Retention and disposal: Files are maintained through the life of the employee's employment and moved from agency to agency as he changes jobs and are eventually stored in St. Louis Record Center. Other records are destroyed within three years to five years, or upon separation of employee.

System manager(s) and address: Comptroller of the Currency, Director of Personnel, 490 L'Enfant Plaza, Washington, D.C.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Information obtained for our use in the above defined records comes from in-house applications for training actions, taken by the agency to sustain on-going historical information of official action on the employee.

Treasury/Comptroller 00.007

System name: Employee Parking Permit & Space No.—Treasury/Comptroller.

System location: Comptroller of the Currency, 490 L'Enfant Plaza East, Washington, D.C. 20219.

Categories of individuals covered by the system: Employees of the Comptroller.

Categories of records in the system: Parking permits.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Control of issued parking spaces and permits. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by division & within division by name.

Safeguards: Locked in File cabinet.

Retention and disposal: Retained and employed with the Comptroller and then destroyed.

System manager(s) and address: Comptroller of the Currency, Director, Administrative Operations Division.

Notification procedure: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Record access procedures: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Contesting record procedures: See Access above.

Record source categories: Administrative Operations Division.

Treasury/Comptroller 00.008

System name: Employee payroll records—Treasury/Comptroller.

System location: Comptroller of the Currency, Fiscal Management Division, 6th Floor, 490 L'Enfant Plaza, Washington, D.C. 20219.

Categories of individuals covered by the system: Employees of Comptroller of the Currency.

Categories of records in the system: Individual employee earnings record and related payroll reports.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To support bureau salary costs and to prepare payroll reports. For additional routine uses, see Appendix AA.

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

Storage: File.

Retrievability: Filed by social security number and geographic location.

Safeguards: Security provided by building guards during non-working hours. Files under supervision of accounting personnel during working hours.

Retention and disposal: Retained by the fiscal management division for 4 years and then stored at the federal records center (St. Louis, Missouri) for 52 years.

System manager(s) and address: Comptroller of the Currency, Director, Fiscal Management Division, 490 L'Enfant Plaza, Washington, D.C. 20219.

Notification procedure: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Record access procedures: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Contesting record procedures: See Access above.

Record source categories: Standard Form 50—Notification of Personnel Action and other supporting documents prepared by the employee.

Treasury/Comptroller 00.009

System name: Employee Reference File—Treasury/Comptroller.

System location: Comptroller of the Currency, 490 L'Enfant Plaza East, Washington, D.C. 20219.

Categories of individuals covered by the system: Employees of the Comptroller.

Categories of records in the system: Names of Employees with Reference of informal personnel actions & recommendations.

Authority for maintenance of the system: 12 U.S.C. 1, 9, and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference file of informal personnel actions & recommendations. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name of employee.

Safeguards: Protected by roving guard after working hours.

Retention and disposal:

System manager(s) and address: Comptroller of the Currency, Branch Chief 490 L'Enfant Plaza East Washington, D.C. 20219.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Comptroller.

Treasury/Comptroller 00.019

System name: Employee Relations—Treasury/Comptroller.

System location: Comptroller of the Currency, Personnel Management Division, 490 L'Enfant Plaza, S.W., Washington, D.C. 20219.

Categories of individuals covered by the system: Employees of Comptroller of the Currency.

Categories of records in the system: Employee Relations Reports, Employee Counseling Reports, Disciplinary Action Files, Grievance Files, Adverse Action Files, Incentive Awards Program Files, Annual Performance Records, Informal Records Concerning Employees.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: All employee relations records are maintained and used solely as itemized case file of events involving employees grievances, adverse actions, disciplinary actions, counseling reports, etc. These case files are used in the course of administrative appeals, hearings and court actions. Other uses involve consolidated statistical data reports of such cases as required by regulation. Only authorized personnel management division employees, assigned grievance examiners, or hearing officers are authorized use of such case files. Routine uses of incentive awards files are for annual reports and internal statistical analysis. For additional routine uses, see Appendix AA.

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

Storage: File cabinets.

Retrievability: All files are indexed by name with the exception of Incentive Awards and employee relations reports. These files are indexed according to subject category. For example, incentive awards are broken under subheadings of special achievement awards, employee suggestions and special award categories.

Safeguards: Files are available only to authorized personnel with the personnel division for official action.

Retention and disposal: All employee relations and files relating to grievances, disciplinary actions, adverse actions and counseling reports are retained in the employee relations branch files until the subject employee leaves the agency. These case files are then purged with only pertinent documents placed in the Official Personnel File. Extraneous materials are then destroyed. All other employee relations files are retained for a period of three years, then sent to the Records Center for retention as prescribed by records management regulations.

System manager(s) and address: Comptroller of the Currency, Director Personnel, 490 L'Enfant Plaza, Washington, D.C.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: All sources of records are obtained through various means relating to the development of a case file. Such means include written records of meetings, counseling sessions, appeals, hearings, and letters of charges, intent, final decision, and administrative procedures. Award recommendations are submitted by supervisors.

Treasury/Comptroller 00.010

System name: Federal Bureau of Investigation Report Card Index—Treasury/Comptroller.

System location: Comptroller of the Currency, Sixth Floor, 490 L'Enfant Plaza, S.W., Washington, D.C. 20219.

Categories of individuals covered by the system: Persons who have been involved in or associated with unlawful activity respecting national banking associations.

Categories of records in the system: This system consists of an alphabetized indices of the names of individuals involved in or associated with unlawful activity respecting national banks and a cross reference to pertinent Federal Bureau of Investigation Reports relating thereto.

Authority for maintenance of the system: This system is established, maintained and utilized pursuant to 12 U.S.C. sections 481, 21, 1818, and 1829, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are utilized as a cross reference for the purpose of making determination with respect to potential or existing violations of law. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: The records are retrieved by the name of the individual.

Safeguards: Records are maintained by the Office in files with security procedures consistent with the sensitivity of the data.

Retention and disposal: Currently there are no provisions for disposal of records contained in this system.

System manager(s) and address: Director of Enforcement Division; Law Department, Comptroller of the Currency, 490 L'Enfant Plaza, S.W., Washington, D.C. 20219.

Notification procedure: The Department of Justice has exempted this system elsewhere in the Federal Register.

Record access procedures: Exempted as above.

Contesting record procedures: Exempted as above.

Record source categories: Exempted as above.

Systems exempted from certain provisions of the act: Criminal investigative records exempted elsewhere in the Federal Register by the Department of Justice.

Treasury/Comptroller 00.011

System name: Formal Complaint Reports—Treasury/Comptroller.

System location: Comptroller of the Currency, Equal Employment Office, 490 L'Enfant Plaza, S.W., Washington, D.C. 20219.

Categories of individuals covered by the system: Employees filing formal complaints of discrimination because of race, color, religion, age or sex.

Categories of records in the system: All records and memorandums pertaining to case—Civil Service Investigation Reports—; all notifications sent to employee—copies of all information submitted by employee.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Internal control purposes. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Confidential numerical system, each case assigned a number.

Safeguards: Each case assigned a number, only EEO staff has code numbers and identifications.

Retention and disposal: Confidential—Indefinite retention time.

System manager(s) and address: Comptroller of the Currency, Equal Employment Opportunity Officer, 490 L'Enfant Plaza, Washington, D.C. 20219.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Reports from Formal Complaint Cases.

Treasury/Comptroller 00.012

System name: Freedom of Information log—Treasury/Comptroller.

System location: Comptroller of the Currency, 490 L'Enfant Plaza, Washington, D.C. 20219.

Categories of individuals covered by the system: Persons making request under the Freedom of Information Act.

Categories of records in the system: List of names of persons making requests under the Freedom of Information Act.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Internal control and reference regarding Freedom of Information Act. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Indexed alphabetically by name.

Safeguards: Unlocked file cabinet.

Retention and disposal: Perpetuity.

System manager(s) and address: See Comptroller Appendix A.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Persons making requests under Freedom of Information Act.

Treasury/Comptroller 00.013

System name: Information file on individuals and commercial entities known or suspected of being involved in fraudulent activities—Treasury/Comptroller.

System location: Comptroller of the Currency, Sixth Floor, 490 L'Enfant Plaza, S.W., Washington, D.C. 20219.

Categories of individuals covered by the system: Individuals and entities involved in actual or suspected fraudulent activities.

Categories of records in the system: This system consists of alphabetized indices of the names of individuals or commercial entities known or suspected of involvement in fraudulent activities both foreign and domestic.

Authority for maintenance of the system: This system is established and maintained pursuant to 12 U.S.C. sections 21, 481, 1818, and 1829.

Treasury/Comptroller 00.015

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This system of records is utilized in connection with the national bank examination program to ascertain whether any transactions were made between examined bank and any of the individuals or entities who may be involved in fraudulent schemes. In any case in which there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, the record in question may be disseminated to the appropriate federal, state, local, or foreign agency charged such violation or charged with enforcing or implementing such law. A record relating to a case or matter may be disseminated to a federal, state, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing.

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

Storage: Records are maintained on paper.

Retrievability: The records are retrieved by name of the individual, trade style used or by the name of the bank involved.

Safeguards: Records are maintained by the Office in files with security procedures consistent with the sensitivity of the data.

Retention and disposal: Currently there are no provisions for disposal of records contained in this system.

System manager(s) and address: Director of Enforcement Division, Law Department, Comptroller of the Currency, 490 L'Enfant Plaza, S.W., Washington, D.C. 20219.

Notification procedure: The Department of Justice has exempted this system elsewhere in the Federal Register.

Record access procedures: Exempted as above.

Contesting record procedures: Exempted as above.

Record source categories: Exempted as above.

Systems exempted from certain provisions of the act: Exempted elsewhere in the Federal Register by the Department of Justice.

Treasury/Comptroller 00.014

System name: Investigation Files/Employee Reference File - Treasury/Comptroller.

System location: Comptroller of the Currency, Personnel Management Division, 490 L'Enfant Plaza, S.W., Washington, D.C. 20219.

Categories of individuals covered by the system: Employee of Comptroller of the Currency.

Categories of records in the system: Compilation of material for a determination regarding security clearance.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9 / 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the Personnel Management Division, the routine uses are associated with the employee's position. Used only by authorized security-cleared employees within the division. Investigations are used to properly grant clearances. For additional routine uses, see Appendix AA.

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

Storage: Locked steel file cabinets and a safe with combination lock.

Retrievability: Filed in alphabetical order by geographical location.

Safeguards: Combination locks are changed once a year and only security-cleared employees within the Personnel Management Division have access.

Retention and disposal: Materials are retained for one month after employee leaves and the records are disposed by shredding.

System manager(s) and address: Director of Personnel, Comptroller of the Currency, 490 L'Enfant Plaza, S.W., Washington, DC 20219.

Notification procedure: The Comptroller of the Currency has exempted this system elsewhere in the Federal Register.

Record access procedures: Exempted as above.

Contesting record procedures: Exempted as above.

Record source categories: Exempted as above.

Systems exempted from certain provisions of the act: Portions of this system are exempted elsewhere in the Federal Register due to the investigative nature of the record.

System name: Leave Applications.

System location: Comptroller of the Currency, 490 L'Enfant Plaza East, Washington, D.C. 20219.

Categories of individuals covered by the system: Employees of the Comptroller.

Categories of records in the system: Leave Requests of employees.

Authority for maintenance of the system: 12 U.S.C. 1 and 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Making judgement regarding leave. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name.

Safeguards: Protected by roving guard after working hours.

Retention and disposal: 3 years and then destroyed.

System manager(s) and address: Comptroller of the Currency, Branch Chief, 490 L'Enfant Plaza East, Washington, D.C.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.020

System name: Precomplaint Counseling and Complaint Activities—Treasury/Comptroller.

System location: Comptroller of the Currency, 490 L'Enfant Plaza, S.W., Washington, D.C. 20219.

Categories of individuals covered by the system: Employees seeking services of EEO Counselors.

Categories of records in the system: Monthly Precomplaint Activity Reports from 14 Regions and Headquarters, 14 Regions and Headquarters.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used to keep records on Regional Counseling activities for monthly submission to Treasury. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Filed by date of receipt.

Safeguards: Staff supervision during day; data in statistics only, no names used.

Retention and disposal: Individual reports shredded at end of two years.

System manager(s) and address: Comptroller of the Currency, Director of Personnel, 490 L'Enfant Plaza, Washington, D.C.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Monthly submission by regions.

Treasury/Comptroller 00.016

System name: Parking Space Applications—Treasury/Comptroller.

System location: Comptroller of the Currency, 490 L'Enfant Plaza East, Washington, D.C. 20219.

Categories of individuals covered by the system: Employees of the Comptroller.

Categories of records in the system: Parking space applications.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Assignment of spaces to eligible employees. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name.

Safeguards: Maintained in locked file cabinet.

Retention and disposal: While employed with the Comptroller.

System manager(s) and address: Comptroller of the Currency, Director, Administrative Operations Div., 490 L'Enfant Plaza, Washington, D.C.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee Applicant.

Treasury/Comptroller 00.017

System name: Travel expense voucher-Treasury/Comptroller.

System location: Comptroller of the Currency, Fiscal Management Division, 6th Floor, 490 L'Enfant Plaza, Washington, D.C. 20219.

Categories of individuals covered by the system: Employees traveling in performance of official duties.

Categories of records in the system: Travel expense voucher.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Form used by employee to claim and support reimbursement for travel expenses incurred in performance of official duties. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Filed in alphabetical order by geographic location.

Safeguards: Security provided by building guards during non-working hours. Files under supervision of voucher payment clerks during working hours.

Retention and disposal: Retained for 2 years by fiscal management division. Stored in the federal records center for 10 years and then disposed of by the records center.

System manager(s) and address: Comptroller of the Currency, Director, Fiscal Management Division, 490 L'Enfant Plaza, Washington, D.C.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Travel expense claims submitted by employee under bureau travel regulations.

Treasury/Comptroller 00.023

System name: Address Card—CC-6020-01—Treasury/Comptroller.

System location: Three Center Plaza, Suite P-400, Boston, Massachusetts 02108.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Addresses and telephone number of Regional Office Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Locator's personal information. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name of employee.

Safeguards: Maintained in locked file.

Retention and disposal: Kept for all active employees.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional employees.

Treasury/Comptroller 00.024

System name: Bond Issue Listing—Treasury/Comptroller.

System location: Three Center Plaza, Suite P-400, Boston, Massachusetts 02108.

Categories of individuals covered by the system: Employees in the Regional Office.

Categories of records in the system: Schedule of bond listing.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Provide an index of employees who have been issued E Bonds. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Numerical by Social Security Number.

Safeguards: Maintained in locked file.

Retention and disposal: Maintained on a quarterly basis, then destroyed.

System manager(s) and address: Regional Administrator (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Fiscal Management Office, Washington, D.C.

Treasury/Comptroller 00.025

System name: Civil Defense Card Control Sheet—CC-6020-08—Treasury/Comptroller.

System location: Three Center Plaza, Suite P-400, Boston, Massachusetts 02108.

Categories of individuals covered by the system: Employees of Regional Office.

Categories of records in the system: Defense control card listing.

Authority for maintenance of the system: 12 U.S.C. 1 AND 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference for listing Civil Defense Cards issued by name and number. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name of employee.

Safeguards: Maintained in locked file.

Retention and disposal: Maintained for all active field employees. Destroyed upon resignation or retirement.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.026

System name: Employee Vehicle Authorization CC-6042-22—Treasury/Comptroller.

System location: Three Center Plaza, Suite P-400, Boston, Massachusetts 02108.

Categories of individuals covered by the system: Employees of the Region.

Categories of records in the system: Authorization for vehicle travel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Utilized to afford employee permission to use privately owned automobiles in performance of official duty. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.
 Retrievability: Alphabetical by name of employee.
 Safeguards: Maintained in locked file.
 Retention and disposal: Kept for all employees who use privately owned auto in performance of official duty. Destroyed upon resignation or retirement.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Employees.

Treasury/Comptroller 00.232

System name: Evaluation Cards—Treasury/Comptroller.

System location: Three Center Plaza, Suite P-400, Boston, MA 02108.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Card listing employee evaluations.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Utilized to generate annual evaluation of employees on their anniversaries. For additional routine uses see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: By month, alphabetical by employees' name.

Safeguards: Maintained in locked file.

Retention and disposal: Maintained for all active employees. Destroyed upon resignation or retirement.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional office.

Treasury/Comptroller 00.234

System name: Inactive Personnel Files—Treasury/Comptroller.

System location: F & M Center, Suite 21-51, Richmond, VA 23277.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Not normally used unless reemployment considered. For additional routine uses see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name.

Safeguards: Locked files.

Retention and disposal: Destruction 2 years after termination.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee, Supervisor, Washington Office.

Treasury/Comptroller 00.022

System name: Monthly Outstanding Report of Travel Advances—Treasury/Comptroller.

System location: Three Center Plaza, Suite P-400, Boston, Massachusetts 02108.

Categories of individuals covered by the system: Employees of the region.

Categories of records in the system: Schedule of Outstanding travel advances.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Computer listing of employees who have travel advances. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Numerical by Social Security Number.

Safeguards: Maintained in locked file.

Retention and disposal: Current listing maintained for all employees who have an outstanding travel advance.

System manager(s) and address: Regional Administrator (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Fiscal Management Division, Comptroller of the Currency—Washington.

Treasury/Comptroller 00.245

System name: Personnel Files—Treasury/Comptroller.

System location: Three Center Plaza, Suite P-400, Boston, MA 02108.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Compilation Personnel form and sections.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Promotion, training, insurance, employment history, performance, evaluation, employment reference, personnel advice, career planning, address and telephone number. For additional routine uses see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name of employee.

Safeguards: Maintained in locked file.

Retention and disposal: Maintained for all active employees and for prior employees for three years from time of retirement or resignation.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees, supervisors and administrative personnel.

Treasury/Comptroller 00.021

System name: Picket Identification Card, Control Sheet—CC-6020-09—Treasury/Comptroller.

System location: Three Center Plaza, Suite P-400, Boston, Massachusetts 02108.

Categories of individuals covered by the system: Employees of the First National Bank Region.

Categories of records in the system: Control sheet for regional employees identification cards.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference for listing of ID cards issued by number and name of employee. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name of employee.

Safeguards: Maintained in locked file.

Retention and disposal: Maintained for all active field employees. Destroyed upon resignation or retirement.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.027

System name: Time and Attendance Report Form TUS-430—Treasury/Comptroller.

System location: Three Center Plaza, Suite P-400, Boston, Massachusetts 02108.

Categories of individuals covered by the system: Employees of the Region.

Categories of records in the system: Report of time in a pay status and on a pay period basis.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To assist in accurate maintenance of leave balance. For additional routine uses, see Appendix AA.

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

Storage: File cabinets.

Retrievability: Numerical by control number within organizational codes.

Safeguards: Maintained in locked file.

Retention and disposal: Current year plus last three prior years.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Philadelphia, PA, Payroll Center.

Treasury/Comptroller 00.261

System name: Time and Leave Register—Treasury/Comptroller.

System location: Three Center Plaza, Suite P-400, Boston, MA 02108.

Categories of individuals covered by the system: Employees of the region.

Categories of records in the system: Pay Period listing of time in work status, time in leave status, and leave balances.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To assist in accurate maintenance of leave balances. For additional routine uses see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Numerical by Social Security number within organizational codes.

Safeguards: Maintained in locked file.

Retention and disposal: Retained for one pay period then destroyed.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza S.W., Washington, DC 20219.

Record access procedures: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza S.W., Washington, DC 20219.

Contesting record procedures: Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza S.W., Washington, DC 20219.

Treasury/Comptroller 00.028

System name: Travel Advance Listing—Treasury/Comptroller.

System location: Three Center Plaza, Suite P-400, Boston, Massachusetts 02108.

Categories of individuals covered by the system: Employees of Region.

Categories of records in the system: Computation of travel expense.

Authority for maintenance of the system: 12 U.S.C. 1, 2 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide internal control for travel advance. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name of employee.

Safeguards: Maintained in locked file.

Retention and disposal: Maintained for all employees who have received a travel advance. Disposed of when advance has been repaid.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of Region.

Treasury/Comptroller 00.029

System name: ADP Time and Attendance Reports—Treasury/Comptroller.

System location: 33 Liberty Street, Room 621, New York, New York 10005.

Categories of individuals covered by the system: All active employees of the Region.

Categories of records in the system: Time and Attendance.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Verification of annual leave and sick leave; compilation of payroll. For additional routine uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: Alphabetically by name.

Safeguards: Locked vault.

Retention and disposal: After two years shredded.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.030

System name: Automobile Authorization—Treasury/Comptroller.

System location: 33 Liberty Street, Room 621, New York, New York 10005.

Categories of individuals covered by the system: All personnel of the Region using automobile for official business.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Review driving records. For additional routine uses, see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetically by name.

Safeguards: Locked file.

Retention and disposal: After four years shredded by Federal Record Center Staff.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.031

System name: Civil Defense Card Register—Treasury/Comptroller.

System location: 33 Liberty Street, Room 621, New York, New York 10005.

Categories of individuals covered by the system: Entire Examination Staff of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Internal control purposes. For additional routine uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: Alphabetically by name.

Safeguards: Locked file cabinet.

Retention and disposal: Permanent Retention.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office Employees.

Treasury/Comptroller 00.032

System name: Computer Leave Balance Printout—Treasury/Comptroller.

System location: 33 Liberty Street, Room 621, New York, New York 10005.

Categories of individuals covered by the system: All active employees of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Verification of annual leave and sick leave. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetically by name.

Safeguards: Locked vault.

Retention and disposal: Shredded after three years.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Personnel Management Division—Washington Office.

Treasury/Comptroller 00.033

System name: "E" Bond List—Treasury/Comptroller.

System location: 33 Liberty Street, Room 621, New York, New York 10005.

Categories of individuals covered by the system: All active employees of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Verification of "E" Bond deductions. For additional routine uses see Appendix AA.

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

Storage: File Cabinet.

Retrievability: Alphabetically by name.

Safeguards: Locked vault.

Retention and disposal: Shredded after three years.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Personnel of the Region.

Treasury/Comptroller 00.034

System name: Employee Annual Leave Cards—Treasury/Comptroller.

System location: 33 Liberty Street, Room 621, New York, New York 10005.

Categories of individuals covered by the system: All employees of the Region filing said applications.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Application for leave. For additional routine uses see Appendix AA.

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

Storage: File Cabinet.

Retrievability: Alphabetically by name.

Safeguards: Locked vault.

Retention and disposal: Shredded after three years.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region who are filing for leave.

Treasury/Comptroller 00.035

System name: Examiner ID Card Register—Treasury/Comptroller.

System location: 33 Liberty Street, Room 621, New York, New York 10005.

Categories of individuals covered by the system: Entire Examination Staff of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Internal control purposes. For additional routine use see Appendix AA.

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

Storage: File Cabinet.

Retrievability: Alphabetically by name.

Safeguards: Locked vault.

Retention and disposal: Permanent Retention.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Examination Staff of the Region.

Treasury/Comptroller 00.036

System name: Inventory Control Records—Treasury/Comptroller.

System location: 33 Liberty Street, Room 621, New York, New York 10005.

Categories of individuals covered by the system: Inventory.

Categories of records in the system: Administrative Services.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Property Control. For additional routine uses see Appendix AA.

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

Storage: File Cabinets.

Retrievability: Alphabetically by name.

Safeguards: Locked vault.

Retention and disposal: Permanent retention.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Administrator and employees.

Treasury/Comptroller 00.238

System name: Job Application File—Treasury/Comptroller.

System location: 33 Liberty Street, Room 621, New York, New York 10005.

Categories of individuals covered by the system: All job applicants.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Provide source of prospective employees. For additional routine uses see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetically by name.

Safeguards: Locked vault.

Retention and disposal: Permanent retention.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Job applicants.

Treasury/Comptroller 00.037

System name: Mailing Plates—Treasury/Comptroller.

System location: 33 Liberty Street, Room 621, New York, New York 10005.

Categories of individuals covered by the system: Entire Examining Staff of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Addressing envelopes. For additional routine uses see Appendix AA.

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

Storage: Metal plates.

Retrievability: Alphabetically by name.

Safeguards: Locked vault.

Retention and disposal: Until obsolete.

System manager(s) and address: Regional Administrator. (See Location Above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Examining Staff of the Region.

Treasury/Comptroller 00.246

System name: Personnel Files (Current Employees)—Treasury/Comptroller.

System location: 33 Liberty Street, Room 621, New York, New York 10005.

Categories of individuals covered by the system: All employees of staff.

Categories of records in the system: Personnel files.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Verifications; statistical reports; contains history of employment. For additional routine uses see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetically by name.

Safeguards: Locked vault.

Retention and disposal: Kept in Regional Office until severance.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Information supplied by employees.

Treasury/Comptroller 00.260

System name: Personnel Files (Former Employees)—Treasury/Comptroller.

System location: 33 Liberty Street, Room 621, New York, New York 10005.

Categories of individuals covered by the system: All former employees.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference, further employment possibilities. For additional routine uses see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetically by name.

Safeguards: Locked vault.

Retention and disposal: Disposed after termination of employment.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Former employees.

Treasury/Comptroller 00.038

System name: Travel Advance Files—Treasury/Comptroller.

System location: 33 Liberty Street, Room 621, New York, New York 10005.

Categories of individuals covered by the system: All employees of the Region issued travel advances.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For reference purposes. For additional Routine Uses see Appendix AA.

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

Storage: File Cabinet.

Retrievability: Alphabetically by name.

Safeguards: Locked vault.

Retention and disposal: Retained one year, shredded thereafter.

System manager(s) and address: Regional Administrator (See Location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Fiscal Management Division, Washington Office.

Treasury/Comptroller 00.039

System name: Travel Voucher Files—Treasury/Comptroller.

System location: 33 Liberty Street, Room 621, New York, New York 10005.

Categories of individuals covered by the system: All employees of the Region in travel status.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For reference purposes. For Additional Routine Uses see Appendix AA.

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

Storage: File Cabinet.

Retrievability: Alphabetically by name.

Safeguards: Locked vault.

Retention and disposal: After four years, records are shredded.

System manager(s) and address: Regional Administrator (See Location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region filling out vouchers.

Treasury/Comptroller 00.223

System name: Active Personnel File—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Personnel Act, Promotion, Training, Performance, Address, Reference and Verification of Employment, Career Planning. For additional routine uses see previously published Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetically by name.

Safeguards: Locked cabinets.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.040

System name: Automobile Authorization—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Employees of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Approval and Insurance Determination. For additional routine uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: Alphabetically by Name.

Safeguards: Locked cabinets.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.041

System name: Civil Defense Card Register—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Employees of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Recordkeeping. For additional routine uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: By date of issue (cross referenced by name of employee).

Safeguards: Locked cabinets.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.042

System name: Comprehensive History of Employees Master Files—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Employees of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Verification purposes, i.e. SCD & PSI. For additional routine uses see Appendix AA.

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

Storage: File cabinet

Retrievability: Indexed by Social Security number.

Safeguards: Locked cabinets.

Retention and disposal: Last report and PP No. 26 for two years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.043

System name: Computer Leave Balance
Print—out—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Employees of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Verification Leave Balance. For Additional Routine Use see Appendix AA.

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

Storage: File cabinets.

Retrievability: Indexed by Social Security number.

Safeguards: Locked cabinets.

Retention and disposal: Three years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.044

System name: Consumer Complaint Index—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Complainants.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Processing and Follow-up. For additional Routine Uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: By date received (cross referenced by name).

Safeguards: Locked cabinets.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.045

System name: E Bond List—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Employees of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Payroll Deductions, Employee Participation. For additional Routine Uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: Indexed by Social Security number.

Safeguards: Locked cabinets.

Retention and disposal: Current.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.046

System name: Employees Annual Leave
Record—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Employees of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Recordkeeping. For additional Routine Uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: Indexed by Social Security number.

Safeguards: Locked cabinets.

Retention and disposal: One year.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.047

System name: Employees I.D. Register—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Employees of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Recordkeeping. For additional Routine Uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: By date of issue (cross referenced by name of employee).

Safeguards: Locked cabinets.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.048

System name: Employees I.D. Pen Register—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Employees of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Recordkeeping. For additional Routine Uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: By date of issue (cross referenced by name of employee).

Safeguards: Locked cabinets.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.229

System name: Employment Applications—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Examiner, Summer Aides, Clerk/Typists, Stenographers, F.I.'s.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Employment Positions. For additional routine uses, see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetically by name.

Safeguards: Locked cabinets.

Retention and disposal: Two years.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.049

System name: Inventory Control Sheets—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Employees of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference. For additional Routine Uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: Date.

Safeguards: None.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.233

System name: Inactive Personnel File—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: All former employees and LWOP's.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

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

Storage: File cabinet.

Retrievability: Alphabetically by name.

Safeguards: Locked cabinets.

Retention and disposal: Three years.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.050

System name: Regional Telephone Log—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Persons placing or receiving calls.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference. For additional Routine Uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: Date.

Safeguards: None.

Retention and disposal: One year.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Callers to Regional Office.

Treasury/Comptroller 00.051

System name: Travel Advances—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Employees of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Recordkeeping Purposes. For additional Routine Uses see Appendix AA.

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

Storage: File Cabinets.

Retrievability: Indexed by Social Security number.

Safeguards: Locked cabinets.

Retention and disposal: Current report.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.052

System name: Travel Vouchers Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Employees of the Region.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Travel expenses incurred, Career Development and Training, City Tax Verification. For additional Routine Uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: Alphabetically by month (cross reference to name).

Safeguards: Locked cabinets.

Retention and disposal: Four years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.053

System name: Visitors Log—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: Office Visitors.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference. For additional Routine Uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: Date.

Safeguards: None.

Retention and disposal: One year.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Visitors to Regional Office.

Treasury/Comptroller 00.054

System name: Weekly Itineraries—Treasury/Comptroller.

System location: Three Parkway, Suite 1316, Philadelphia, Pennsylvania.

Categories of individuals covered by the system: National Bank Examiners, Representatives in Trusts, Associates in Trusts.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1, 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Assignments, Projected Assignments, Leave Information. For additional Routine Uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: Alphabetically by Name.

Safeguards: Locked cabinets.

Retention and disposal: Two years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of the Region.

Treasury/Comptroller 00.055

System name: Annual Leave Request—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: SF 71, Application for Leave.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Record of leave. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Unlocked file cabinet.

Retention and disposal: Destroyed after employee leaves.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: From employee.

Treasury/Comptroller 00.224

System name: Application for Employment—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Employment inquiries and applications.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Appointment of new employees. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Locked file cabinet.

Retention and disposal: Destroyed after two years.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Individuals seeking employment.

Treasury/Comptroller 00.056

System name: Application for Travel Advances—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Request for advance of funds for official business.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Personnel file (Checked for return of funds when employee leaves). For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Locked file cabinet.

Retention and disposal: Retained in active file.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.
Record source categories: From employee.

Treasury/Comptroller 00.057

System name: Comprehensive Listing of Employees—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Grade, Social Security Number, Salary, Withholdings, etc., for each employee.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Office Management. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Locked file cabinet.

Retention and disposal: Destroyed after three years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington Office.

Treasury/Comptroller 00.058

System name: Employee Vehicle Authorization—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Authority to use privately-owned automobile for official duty.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Required for use of POV. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Unlocked file cabinet.

Retention and disposal: Renewed January 1 of each odd-numbered year.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Submitted by employee for authorization by Regional Administrator.

Treasury/Comptroller 00.059

System name: Examination Failures—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Names of prospective employees who have failed test administered for assistant national bank examiner position.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Check list if individual re-applies. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Unlocked file cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.060

System name: Examiner Authorization Certificate—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Authority for Regional Administrator to sign examiner's bank reports.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Standing Power of Attorney. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Unlocked file cabinet.

Retention and disposal: Destroyed after employee leaves.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.061

System name: Government Transportation Requests—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Numbers of Transportation Requests and names to whom issued.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Control of issuance and return of Government Transportation Requests. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Unlocked file cabinet.

Retention and disposal: Name removed after employee separates.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.062

System name: Greater Cleveland Federal Campaign—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: List of Cleveland employees.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Solicitation of contributions to United Fund. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Unlocked file cabinet.

Retention and disposal: Destroyed after three years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.063

System name: Inventory of Identification cards and pins—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Treasury Department, Civil Defense, Comptroller of the Currency Pin.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Inventory control. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Locked file cabinet.

Retention and disposal: Permanent (Retained concurrently).

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Regional Office, Originated entries.

Treasury/Comptroller 00.064

System name: List of E Bonds—Treasury/Comptroller

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Name, Social Security Number, amount of bond, etc.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Checking possible loss of bond and date of issue. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Locked file cabinet.

Retention and disposal: Destroyed after one year.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington Office.

Treasury/Comptroller 00.065

System name: Mailing Plates—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Addresses for all field employees.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Mailing assignments, circulars, etc. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Unlocked file cabinet.

Retention and disposal: Permanent (Employee's plate destroyed after separation).

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.066

System name: Monthly list of Travel Advances—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Print-out list of outstanding travel advances.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Record of travel advances. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Unlocked file cabinet.

Retention and disposal: Destroyed after three years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington Office—CC.

Treasury/Comptroller 00.067

System name: Personnel Directory—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Name, address, telephone number of each employee.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Contacting employees. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Unlocked file cabinet.

Retention and disposal: One copy retained permanently.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Issued by-yearly by Regional Office.

Treasury/Comptroller 00.256

System name: Personnel Records (Active)—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel files of current employees.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Payroll, performance evaluations and overall management matters. For additional routine uses see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of employee or Social Security Number.

Safeguards: Locked file cabinets.

Retention and disposal: Retained in active file.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee, supervisors, and other miscellaneous sources.

Treasury/Comptroller 00.257

System name: Personnel Records (Inactive)—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel files of former employees.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Miscellaneous, reference and inquiries. For additional routine uses see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Locked file cabinet.

Retention and disposal: Destroyed 10 years after employee leaves.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee, supervisors and other miscellaneous sources.

Treasury/Comptroller 00.068

System name: Salary Cards—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Card for each employee with salary, grade, and date.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Record of yearly performance evaluation of employee. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Locked file cabinet.

Retention and disposal: Filed in inactive personnel, file after separation.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller, Appendix A.
Record source categories: Regional Office.

Treasury/Comptroller 00.069

System name: Time and Leave Register—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: TUS 430, Bi-weekly employee time and attendance record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Payroll Purposes. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of employee or Social Security Number.

Safeguards: Unlocked file cabinet.

Retention and disposal: Destroyed after three years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: CC Payroll Center.

Treasury/Comptroller 00.070

System name: Travel Expense Vouchers—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Record of expenses in travel status.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Claim for reimbursement of travel expenses and audit thereof. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Unlocked file cabinet.

Retention and disposal: Destroyed after three years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Submitted by employee monthly.

Treasury/Comptroller 00.071

System name: Weekly Itineraries—Treasury/Comptroller.

System location: One Erieview Plaza, Cleveland, Ohio 44114.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Schedule of bank assignments of examiners.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Contacting examiners. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name of Employee or Social Security Number.

Safeguards: Unlocked file cabinet.

Retention and disposal: Destroyed after two years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller, Appendix A.
 Record access procedures: See Comptroller, Appendix A.
 Contesting record procedures: See Comptroller, Appendix A.
 Record source categories: Submitted weekly by examiners.

Treasury/Comptroller 00.072

System name: Address Card File—Treasury/Comptroller.
 System location: F & M Center, Suite 21—51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.
 Categories of records in the system: Personal Record.
 Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Address information, headquarters information, telephone No., Organizational Code, Social Security No. For additional routine uses see Appendix AA.

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

Storage: File cabinet.
 Retrievability: Alphabetical by name.
 Safeguards: Locked file cabinet.
 Retention and disposal: Permanent.
 System manager(s) and address: Regional Administrator (see location above).
 Notification procedure: See Comptroller Appendix A.
 Record access procedures: See Comptroller Appendix A.
 Contesting record procedures: See Comptroller Appendix A.
 Record source categories: Employee.

Treasury/Comptroller 00.073

System name: Addressograph Plates—Treasury/Comptroller.
 System location: F & M Center, Suite 21—51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.
 Categories of records in the system: Personal and Bank Record.
 Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Personnel and Bank Mailings—Bulletins. For additional routine uses see Appendix AA.

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

Storage: File cabinet.
 Retrievability: Alphabetical by name.
 Safeguards: Locked files.
 Retention and disposal: Permanent, with updating.
 System manager(s) and address: Regional Administrator (see location above).
 Notification procedure: See Comptroller Appendix A.
 Record access procedures: See Comptroller Appendix A.
 Contesting record procedures: See Comptroller Appendix A.
 Record source categories: Regional Office, Personnel.

Treasury/Comptroller 00.225

System name: Applications for Employment—Treasury/Comptroller.
 System location: F & M Center, Suite 21—51, Richmond, VA 23277.

Categories of individuals covered by the system: Employees.
 Categories of records in the system: Personnel record.
 Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Pending files—before offer or declination. For additional routine uses see Treasury Appendix AA.

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

Storage: File cabinet.
 Retrievability: Alphabetical by name.
 Safeguards: Locked files.

Retention and disposal: Retain 2 years—destruction.
 System manager(s) and address: Regional Administrator, see location above.

Notification procedure: Comptroller Appendix A.
 Record access procedures: Comptroller Appendix A.
 Contesting record procedures: Comptroller Appendix A.
 Record source categories: Applicants.

Treasury/Comptroller 00.074

System name: Automobile Authorizations—Treasury/Comptroller.
 System location: F & M Center, Suite 21—51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.
 Categories of records in the system: Personal Record.
 Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Check for authority to use personal vehicle for official travel. For additional routine uses see Appendix AA.

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

Storage: File cabinet.
 Retrievability: Alphabetical by name.
 Safeguards: Locked files.
 Retention and disposal: Permanent until termination then destruction.
 System manager(s) and address: Regional Administrator (see location above).
 Notification procedure: See Comptroller Appendix A.
 Record access procedures: See Comptroller Appendix A.
 Contesting record procedures: See Comptroller Appendix A.
 Record source categories: Employee.

Treasury/Comptroller 00.075

System name: Civil Defense ID Card Register—Treasury/Comptroller.

System location: F & M Center, Suite 21—51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.
 Categories of records in the system: Personal Record.
 Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Inventory—Reports. For additional routine uses see Appendix AA.

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

Storage: File cabinet.
 Retrievability: Alphabetical by name.
 Safeguards: Locked files.
 Retention and disposal: Permanent, with updating.
 System manager(s) and address: Regional Administrator (see location above).
 Notification procedure: See Comptroller Appendix A.
 Record access procedures: See Comptroller Appendix A.
 Contesting record procedures: See Comptroller Appendix A.
 Record source categories: Regional Office, personnel.

Treasury/Comptroller 00.076

System name: E Bond Lists—Treasury/Comptroller.
 System location: F & M Center, Suite 21—51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.
 Categories of records in the system: Personal Record.
 Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Indexed by Security No.

Safeguards: Locked files.

Retention and disposal: Retention 2 years then destruction.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee information.

Treasury/Comptroller 00.077

System name: Employee Annual & Sick Leave Record (T&A)—Treasury/Comptroller.

System location: F & M Center, Suite 21-51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal Record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Ready reference for supervisors and personnel re leave. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name.

Safeguards: Locked files.

Retention and disposal: 1 1/2 years retention then destruction.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Computer Center, Regional Office Personnel.

Treasury/Comptroller 00.078

System name: Employee Index—Treasury/Comptroller.

System location: F & M Center, Suite 21-51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal Record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Check for voucher submission & record of authority to use personal vehicle. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name.

Safeguards: Locked files.

Retention and disposal: Routine updating.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office personnel.

Treasury/Comptroller 00.079

System name: Examiner ID Card Register—Treasury/Comptroller.

System location: F & M Center, Suite 21-51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal Record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Inventory—Reports. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name.

Safeguards: Locked files.

Retention and disposal: Permanent with updating.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office, personnel.

Treasury/Comptroller 00.080

System name: History of Employee-Master File TUS 404—Treasury/Comptroller.

System location: F & M Center, Suite 21-51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal Record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Ready reference—all employee information re salary, SCD, PSI. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Indexed by Social Security No.

Safeguards: Locked files.

Retention and disposal: Retain current pay period plus 1st and last pay period annually.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.081

System name: ID Pin Register—Treasury/Comptroller.

System location: F & M Center, Suite 21-51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal Record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Inventory—Reports. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name.

Safeguards: Locked files.

Retention and disposal: Permanent with updating.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office, personnel.

Treasury/Comptroller 00.082

System name: Inventory Control Sheets—Treasury/Comptroller.

System location: F & M Center, Suite 21-51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Numerical—Property No.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Required Recordkeeping for control of inventory. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Number Cross-referenced by name.

Safeguards: Locked Files.

Retention and disposal: Permanent record, with updating.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office, personnel.

Treasury/Comptroller 00.083

System name: List of Travel Advances—Treasury/Comptroller.

System location: F & M Center, Suite 21-51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal Record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference-checked upon employee termination of employment. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Indexed by Social Security No.

Safeguards: Locked files.

Retention and disposal: Retention 2 years then destruction.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee information.

Treasury/Comptroller—00.247

System name: Personnel Files—Treasury/Comptroller.

System location: F & M Center, Suite 21-51, Richmond, VA 23277.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Employee history, personal references, evaluations, training, career planning. For additional routine uses, see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetical by name.

Safeguards: Locked files.

Retention and disposal: Destruction 2 years after termination.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee, Supervisor, Washington Office.

Treasury/Comptroller 00.084

System name: Personnel Notebook—Treasury/Comptroller.

System location: F & M Center, Suite 21-51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal Record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Synopsis of information contained in personnel file-ready reference.

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

Storage: File cabinet.

Retrievability: Alphabetical by name.

Safeguards: Locked files.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office Personnel.

Treasury/Comptroller 00.085

System name: TR Index—Treasury/Comptroller.

System location: F & M Center, Suite 21-51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal Record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Maintain control and verification of annual travel expenses. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Numerically and alphabetically by name.

Safeguards: Locked file cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office Personnel.

Treasury/Comptroller 00.086

System name: Travel Vouchers—Treasury/Comptroller.

System location: F & M Center, Suite 21-51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal Record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Audit-Reports-Reclaim; Recommended Suspension and Allowances; For additional routine uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: Alphabetical by name.

Safeguards: Locked Files.

Retention and disposal: 2 1/2 years-retention-destruction.

System manager(s) and address: Regional Administrator (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.
 Record access procedures: See Comptroller, Appendix A.
 Contesting record procedures: See Comptroller, Appendix A.
 Record source categories: Employee.

Treasury/Comptroller 00.087

System name: Visitor and Telephone Logs, Persons calling or visiting regional office—Treasury/Comptroller.

System location: F & M Center, Suite 21-51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Daily logs.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral for Names-Dates. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: By date.

Safeguards: Locked files.

Retention and disposal: 1 year retention then destruction.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Regional Office, personnel.

Treasury/Comptroller 00.088

System name: Weekly Itineraries—Treasury/Comptroller.

System location: F & M Center, Suite 21-51, Richmond, Va. 23277.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal Record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Location of personnel, Leave verification. For additional routine uses see Appendix AA.

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

Storage: File cabinets.

Retrievability: Alphabetical, name and date.

Safeguards: Locked Files.

Retention and disposal: 1 year—destruction.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.226

System name: Active Personnel Files—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: General Personnel Matters. For additional routine uses see Treasury Appendix AA.

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

Storage: Locked file cabinets.

Retrievability: Name or Social Security Number.

Safeguards: Lock and key.

Retention and disposal: Active file permanent retention.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.089

System name: Automobile Authorizations—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Travel and Accident. For additional routine uses see Appendix AA.

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

Storage: Desk drawer.

Retrievability: Name or Social Security Number.

Safeguards: None.

Retention and disposal: Two year renewal.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.090

System name: Bank Organizers & Proposed Officer Files (listed by name of bank)—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Bank Organizers; Proposed Officers.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 CFR 42, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Appraise charter & Competence of Management. For additional routine uses see Appendix AA.

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

Storage: Held in Charter File in file cabinet.

Retrievability: Name or Social Security Number.

Safeguards: Lock & Key.

Retention and disposal: Approved Charters—Permanent Retention, Disapproved—destroyed after three years.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Applicants, References, Employee.

Treasury/Comptroller 00.091

System name: Civil Defense Card Register—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Control Register. For additional routine uses see Appendix AA.

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

Storage: Locked cabinet.

Retrievability: Name or Social Security Number.

Safeguards: Lock & Key.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington, D.C. and Regional Office.

Treasury/Comptroller 00.092

System name: E Bond—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Update and change records, employee participation. For additional routine uses see Appendix AA.

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

Storage: Cabinet.

Retrievability: Name or Social Security Number.

Safeguards: Lock & Key.

Retention and disposal: 90 days.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington, D.C.

Treasury/Comptroller 00.093

System name: Employee compensation—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Update & change records. For additional routine uses see Appendix AA.

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

Storage: Locked file.

Retrievability: Name or Social Security Number.

Safeguards: Lock & Key.

Retention and disposal: 90 days.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington, D.C.

Treasury/Comptroller 00.094

System name: Employee Leave—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Update Records. For additional routine uses see Appendix AA.

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

Storage: Locked cabinet.

Retrievability: Name or Social Security Number.

Safeguards: Lock & Key.

Retention and disposal: Three years—destroyed.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington, D.C.

Treasury/Comptroller 00.095

System name: Employee Residence—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Record purposes. For additional routine uses see Appendix AA.

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

Storage: File cabinet.

Retrievability: Name or Social Security Number.

Safeguards: None.

Retention and disposal: Kept Current.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.096

System name: Examiner I.D. Register—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Control Register. For additional routine uses see Appendix AA.

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

Storage: Locked cabinet.

Retrievability: Name or Social Security Number.

Safeguards: Lock & Key.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington, D.C. and Regional Office.

Treasury/Comptroller 00.097

System name: Inventory (Property) Control Card—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Verifying fixed assets. For additional routine uses see Appendix AA.

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

Storage: Locked File.

Retrievability: Name or Social Security Number.

Safeguards: Lock & Key.

Retention and disposal: Current plus one year; destroyed.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington, D.C.

Treasury/Comptroller 00.239

System name: Job Applications—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Applicant.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Recruitment. For additional routine uses see Treasury Appendix AA.

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

Storage: Locked desk.

Retrievability: Name or Social Security Number.

Safeguards: Lock and key.

Retention and disposal: Two years—destroyed.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Applicant.

Treasury/Comptroller 00.098

System name: Payroll Roster—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Update records. For additional routine uses see Appendix AA.

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

Storage: Locked cabinet.

Retrievability: Name or Social Security Number.

Safeguards: Lock & Key.

Retention and disposal: 90 days.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington, D.C. and Regional Office.

Treasury/Comptroller 00.099

System name: Regional Advisory Committee—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Advisory Committee Member.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Participation in two meetings per year. For additional routine uses see Appendix AA.

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

Storage: Locked File.

Retrievability: Name or Social Security Number.

Safeguards: Lock & Key.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.100

System name: Time & Attendance—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Posting T&A; Leave Balances. For additional routine uses see Appendix AA.

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

Storage: Locked cabinet.

Retrievability: Name or Social Security Number.

Safeguards: Lock & Key.

Retention and disposal: Three years—destroyed.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington, D.C. and Regional Office.

Treasury/Comptroller 00.101

System name: Travel Advance—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Payment. For additional routine uses see Appendix AA.

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

Storage: Locked Desk.

Retrievability: Name or Social Security Number.

Safeguards: Lock & Key.

Retention and disposal: Kept current.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee and Washington, D.C.

Treasury/Comptroller 00.102

System name: Travel Vouchers—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Adjust. Action; check agency leave records; check bills for Special Services; Compile Monthly Travel report. For additional routine uses see Appendix AA.

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

Storage: Office files.

Retrievability: Name or Social Security Number.

Safeguards: Lock & Key.

Retention and disposal: Four year retention, kept current.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.103

System name: Weekly Itinerary—Treasury/Comptroller.

System location: 1510 First National Bank Tower, Two Peachtree Street, NW, Atlanta, Georgia 30303.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Leave and locate examiners. For additional routine uses see Appendix AA.

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

Storage: Locked cabinet.

Retrievability: Name or Social Security Number.

Safeguards: Lock & Key.

Retention and disposal: Six months in office; 1-1/2 years Record Center.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.104

System name: Consumer Complaint Index—Treasury/Comptroller.

System location: 164 W. Jackson Boulevard, Room 715, Chicago, Illinois 60604.

Categories of individuals covered by the system: Persons filing complaints with regional office against national banks.

Categories of records in the system: Card file index to pending and inactive consumer complaints against banks.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide a ready reference for the location and status of pending and closed complaints against banks. For additional routine uses see Appendix AA.

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

Storage: File Cabinet.

Retrievability: Alphabetical.

Safeguards: Maintained in closed cabinet.

Retention and disposal: Indefinite period of time.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Record source categories: Complaints against banks.

Treasury/Comptroller 00.105

System name: E Bond Listing—Treasury/Comptroller.

System location: 164 W. Jackson Boulevard, Room 715, Chicago, Illinois 60604.

Categories of individuals covered by the system: Regional Office Personnel.

Categories of records in the system: Enrollment records of all employees participating in United States Savings Bond Program.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral for proper mailing of E Bonds to enrollees. For additional uses see Appendix AA.

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

Storage: File Cabinet.

Retrievability: Indexed by Social Security Number.

Safeguards: Restrictive entry to locked cabinet.

Retention and disposal: Listing received bi-weekly. Previous listing destroyed upon receipt of most current listing.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employees of Regional Office.

Treasury/Comptroller 00.106

System name: Educational Record File—Treasury/Comptroller.

System location: 164 W. Jackson Boulevard, Room 715, Chicago, Illinois 60604.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Listing of various training programs by subject category.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral for purpose of selection for available training programs. For additional routine uses see Appendix AA.

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

Storage: File Cabinet.

Retrievability: Each training program listed by dates conducted, listing each participant attending.

Safeguards: Restrictive entry to locked cabinet.

Retention and disposal: Indefinitely or until training program has been cancelled.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employees of Regional Office.

Treasury/Comptroller 00.107

System name: Employee Comprehensive Listing—Treasury/Comptroller

System location: 164 W. Jackson Boulevard, Room 715, Chicago, Illinois 60604.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Listing of all salaried employees detailing salary, leave balance, itemized deductions of salaries and participation in sundry federal fringe benefit programs.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: General Personnel matters relating to salary. For additional routine uses see Appendix AA.

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

Storage: File Cabinet.

Retrievability: Index by social security number.

Safeguards: Restrictive entry to locked cabinet.

Retention and disposal: Listing received by-weekly. Destroyed upon receipt of updated listing.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employees of Regional Office.

Treasury/Comptroller 00.231

System name: Employment Applications Under Competitive Appointment basis—Treasury/Comptroller.

System location: 164 W. Jackson Boulevard, Room 715, Chicago, Illinois 60604.

Categories of individuals covered by the system: Regional office personnel.

Categories of records in the system: Job applications referenced through Civil Service List of Eligibles.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referrals for primarily clerical positions in the Regional Office. For additional routine uses see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetically by name of applicant.

Safeguards: Restrictive entry to locked cabinet.

Retention and disposal: Two year retention period.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees of Regional Office.

Treasury/Comptroller 00.240

System name: Job Applicants (Active)—Treasury/Comptroller.

System location: 164 W. Jackson Boulevard, Room 715, Chicago, Illinois 60604.

Categories of individuals covered by the system: Personnel applying for positions with regional office.

Categories of records in the system: Employment applications for staff positions in the Seventh National Bank Region.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference for available positions. For additional routine uses see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetically.

Safeguards: Restrictive entry to locked cabinet.

Retention and disposal: Retained two years, then destroyed.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Job applicants.

Treasury/Comptroller 00.248

System name: Personnel Files (Active)—Treasury/Comptroller.

System location: 164 W. Jackson Boulevard, Room 715, Chicago, Illinois 60604.

Categories of individuals covered by the system: Regional office employees.

Categories of records in the system: Employment records of all active Employees in the Seventh National Bank Region.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: General personnel matters. For additional routine uses see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetically by name.

Safeguards: Restrictive entry to locked cabinet.

Retention and disposal: Retained until termination of employment, then transferred to inactive file.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees, School Officials, Job Reference, Former Employees.

Treasury/Comptroller 00.258

System name: Personnel Files (Inactive)—Treasury/Comptroller.

System location: 164 W. Jackson Boulevard, Room 715, Chicago, Illinois 60604.

Categories of individuals covered by the system: Regional office employees.

Categories of records in the system: Employment records of all retired or terminated employees.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Verification of employment, promotion, training, insurance, employment history, performance, evaluation, personnel advice, career planning, retirement security clearance. For additional routine uses see Treasury Appendix AA.

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

Storage: File cabinet.

Retrievability: Alphabetically by name.

Safeguards: Restrictive entry to locked cabinet.

Retention and disposal: Five year retention subsequent to retirement or termination. File is shredded after this period.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees, School Officials, Job Reference, Former Employees.

Treasury/Comptroller 00.108

System name: Time and Attendance Records—Treasury/Comptroller.

System location: 164 W. Jackson Boulevard, Room 715, Chicago, Illinois 60604.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Record of employee attendance.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Record official work time of each employee and verification of leave taken. For additional routine uses see Appendix AA.

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

Storage: File Cabinet.

Retrievability: Social Security Number.

Safeguards: Limited access to locked cabinet.

Retention and disposal: 12 months.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Regional Office Employees.

Treasury/Comptroller 00.109

System name: Travel & Per Diem Vouchers—Treasury/Comptroller.

System location: 164 W. Jackson Boulevard, Room 715, Chicago, Illinois 60604.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Expense vouchers submitted on Employees.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Verification of official travel incurred in accordance with duty assignment. For additional routine uses see Appendix AA.

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

Storage: File Cabinet.

Retrievability: Alphabetically by name.

Safeguards: Restrictive access to locked cabinet.

Retention and disposal: Four years.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Regional Office Employees.

Treasury/Comptroller 00.110

System name: Weekly Examiner Itinerary—Treasury/Comptroller.

System location: 164 W. Jackson Boulevard, Room 715, Chicago, Illinois 60604.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Weekly record of official assignments and anticipated itinerary for following week.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Verification of actual duty assignment for National Bank Examiner. For additional routine uses see Appendix AA.

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

Storage: File Cabinet.

Retrievability: Alphabetical by week.

Safeguards: Limited access to locked cabinet.

Retention and disposal: 12 months.

System manager(s) and address: Regional Administrator (See "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Regional Office Employees.

Treasury/Comptroller 00.111

System name: Accident Report—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Employees.

Categories of records in the system: From 91, 91A and Optional Form 26.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Matter of record; Approval of renewal of employee vehicle authorization, for additional routine uses see Appendix AA.

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

Storage: File Cabinet.

Retrievability: Name/Date.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.112

System name: Automobile Authorization—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Identification of employee authorized to use a privately-owned automobile. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Name.

Safeguards: Locked file cabinets.

Retention and disposal: Destroyed after 4 months.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.113

System name: Civil Defense Card Control Register—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: National Bank Examiners, Assistant National Bank Examiners, Representatives in Trusts, Associates in Trusts and Assistants in Trusts.

Categories of records in the system: Listing of issuances of Civil Defense Cards.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Interoffice Control. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Civil Defense Card Number.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington Office and Employees.

Treasury/Comptroller 00.114

System name: Comprehensive Listing of Employee Master File Form TUS 404—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Employees.

Categories of records in the system: EDP Printout.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Administrative control. Also see Appendix AA for routine uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Social Security Number by Pay Period.

Safeguards: Locked File Cabinet.

Retention and disposal: One year shredded.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Federal Disbursing Center.

Treasury/Comptroller 00.115

System name: Consumer Complaint Index—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Any individual who lodges a complaint against a national bank.

Categories of records in the system: Name of individual and address; name of bank involved and address; date bank notified of complaint; follow-up date; closing date of complaint.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Utilized to check complaint status until closing date. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Date complaint letter is forwarded to bank for comment.

Safeguards: Locked file cabinet.

Retention and disposal: Two years.

System manager(s) and address: Regional Counsel.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Filing of a complaint letter by a complainant.

Treasury/Comptroller 00.116

System name: E Bond Listing—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Employees.

Categories of records in the system: EDP Printout.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Check issuances of Series E Bonds. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Social Security Number by Pay Period.

Safeguards: Locked File Cabinet.

Retention and disposal: One year shredded.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Computer, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Federal Disbursing Center.

Treasury/Comptroller 00.117

System name: Employee Annual and Sick Leave Card—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Shows annual and sick leave by month, by day.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used to post leave to TUS-430's; used for review of leave used which is easily accessible on one card or sheet in one place. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Alphabetically.

Safeguards: Locked File Cabinet.

Retention and disposal: Four years shredded.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.118

System name: Employee Vehicle Authorization Form CC-6042-22—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Description of the automobile, insurance, driving violations and accidents.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Authority to use auto for official duty. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Alphabetically.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent until superseded due to any change; renewed every two years.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee

Treasury/Comptroller 00.119

System name: Identification Pin Control Register—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: National Bank Examiners, Assistant National Bank Examiners, Representatives in Trusts, Associates in Trusts and Assistants in Trusts.

Categories of records in the system: Listing of issuances of Identification Lapel Pins.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Interoffice Control. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: By name as issued by date.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.120

System name: Inventory Control of Property—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Listings of property assignments for briefcases, portable typewriters, and electronic calculators.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Control of Inventory and Property. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Initially by Item and Property No., thereafter by Serial No. and Employee name.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent as superseded or changed.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Assignment.

Treasury/Comptroller 00.241

System name: Job Application—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Applicants for positions.

Categories of records in the system: File folder containing letters, resumes, college transcripts, pre-employment tests, and interview form relating to application for employment.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Screening applicants for employment. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically by name, by year.

Safeguards: Locked file cabinet.

Retention and disposal: Three years shredded.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Information furnished by applicant; test and interview administered by Regional Recruiter.

Treasury/Comptroller 00.121

System name: Mailing List Master Sheet—Treasury Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: All employees except Regional Office employees.

Categories of records in the system: Xerox master for making address labels on Xerox machine.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Mailings to employees. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: By name.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent as superseded or changed.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.249

System name: Personnel File—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Employees with excepted appointments.

Categories of records in the system: Application Form (SF 171), Security Investigation Data Form (SF 86) Standard Interview Form (CSC Form 299), Notification of Personnel actions (SF 50) for appointments, promotions, transfers, etc., College transcripts, Report of Transfer or Discharge from the Armed Forces of the United States (Form DD-214), Letters of Reference, Completion of training and request for Training Forms, Performance Evaluations, Memo notes made during personal visits between employee and Regional Administrator and/or Deputy Regional Administrator.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Appointment, Promotion, Training, Insurance, Employment History, Performance Evaluation, Employment Reference, Personal Advice, Career Planning, Retirement, Security Clearance, Address and Telephone. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically.

Safeguards: Locked file cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: See category of record.

Treasury/Comptroller 00.250

System name: Personnel File—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Clerical personnel with Career and Career-Conditional Appointments.

Categories of records in the system: Application Form (SF 171), Notifications of Personnel Actions (SF 50), Letters of Reference, Request for the Completion of Training Forms.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Appointment, Promotion, Training, Insurance, Employment History, Performance Evaluation, Employment Reference, Personal Advice, Career Planning, Retirement, Security Clearance, Address and Telephone. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically.

Safeguards: Locked file cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: See category of record.

Treasury/Comptroller 00.122

System name: Pocket Identification Card Control Register—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: National Bank Examiners, Assistant National Bank Examiners, Representatives in Trusts, Associates in Trusts and Assistants in Trusts, and Financial Interns.

Categories of records in the system: Listing of issuances of Identification Cards.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Interoffice Control. For routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: ID Card Number by type (National Bank Examiner, Assistant Examiner, etc.)

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Controller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington Office and Employees.

Treasury/Comptroller 00.123

System name: Telephone Log—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Public, including bankers and all employees.

Categories of records in the system: A daily log of incoming and outgoing telephone calls.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Placing telephone calls. Checking telephone bills. Reference. For additional uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: In sequence by date.

Safeguards: Locked Desk Drawer.

Retention and disposal: One year shredded.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.124

System name: Time and Attendance Report (TUS-430)—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Employees

Categories of records in the system: Time in pay status, annual and sick leave, and other leave. Leave supported by Application for Leave (SF 71) Carbon copies.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Payment of salary. Record of leave. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Alphabetically by Agency ID No. by pay period.

Safeguards: Locked File Cabinet.

Retention and disposal: Four years shredded.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Federal Disbursing Center.

Treasury/Comptroller 00.125

System name: Time and Leave Register—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Employees.

Categories of records in the system: EDP Printout.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Leave used and leave balances. For routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Social Security Number by Pay Period.

Safeguards: Locked File Cabinet

Retention and disposal: One year shredded.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Federal Disbursing Center.

Treasury/Comptroller 00.126

System name: Application for Travel Advance Form CC-6042-17—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Employees

Categories of records in the system: Request for advance of funds.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Advance of funds by Fiscal Management Division, Repayment of advance upon resignation, retirement or termination. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinets

Retrievability: Alphabetically (Form CC-6042-17), (Carbon copy) and EDP Printout by Social Security number.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent; until repaid.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Form CC-6042-17 from employee, EDP Printout from Washington Office.

Treasury/Comptroller 00.127

System name: Travel and Expense Vouchers Form CC-6040-03—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Carbon copy of monthly record of travel claims.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reimbursement of travel expenses. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

System name: Alphabetically.

Safeguards: Locked File Cabinet.

Retention and disposal: Four years shredded.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee and Washington Office.

Treasury/Comptroller 00.128

System name: Weekly Itinerary Form CC-1427-OX—Treasury/Comptroller.

System location: 165 Madison Avenue, Room 1900, Memphis, Tennessee 38103.

Categories of individuals covered by the system: National Bank Examiners and Representatives in Trusts.

Categories of records in the system: Location of Bank Examination.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Scheduling, Location of Personnel in travel status, Report of Examinations. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Alphabetically by week.

Safeguards: Locked File Cabinet.

Retention and disposal: Four years shredded.

System manager(s) and address: Regional Administrator.

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: National Bank Examiners and Representatives in Trusts.

Treasury/Comptroller 00.129

System name: Automobile Authorization File—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Approval and Insurance Determination. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Direct Access.

Safeguards: Locked file cabinet.

Retention and disposal: 2 years then dispose

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.130

System name: Bank Files—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: General public bank officials.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Direct Access.

Safeguards: Locked file cabinet.

Retention and disposal: Permanent 3 years in region then to Fed. Rec. Center.

System manager(s) and address: Regional Administrator. (See "locations" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.131

System name: Civil Defense Card Register—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Internal control. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Direct Access.

Safeguards: Locked file cabinets.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.132

System name: Computer Leave Printout—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Verification of leave balance. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinets.

Retrievability: Direct Access.

Safeguards: Locked File Cabinets.

Retention and disposal: 3 years then dispose.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.133

System name: Computer List of Travel Advances—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Internal control of advances. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Direct Access.

Safeguards: Locked File Cabinet.

Retention and disposal: 3 years then dispose.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.134

System name: Computer Printout, Series E Bond Subscribers—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Computing payroll deductions. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinets.

Retrievability: Direct Access.

Safeguards: Locked file cabinets.

Retention and disposal: 3 years then dispose.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.135

System name: Employee Annual Leave Cards—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Computing leave balance. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinets.

Retrievability: Direct Access.

Safeguards: Locked File Cabinet.

Retention and disposal: one year.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.136

System name: Employee Annual Leave, Computer Printout—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Computing leave balance. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinets.

Retrievability: Direct Access.

Safeguards: Locked File Cabinets.

Retention and disposal: 3 years then dispose.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.137

System name: Employee Identification Card Register—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Internal control. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Direct Access.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.138

System name: Employee Mailing Labels—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Direct Access.

Safeguards: Locked file cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.230

System name: Employment Applications
Files—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Analyzed for employment opportunity. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Direct access.

Safeguards: Locked file cabinet.

Retention and disposal: 2 years then dispose of.

System manager(s) and address: Regional Administrator (see "Location" above for address).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.139

System name: Financial & Biographical Reports of Organizers of New National Banks—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Direct Access.

Safeguards: Locked file cabinet.

Retention and disposal: Permanent retention.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.140

System name: Identification Pin Register—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employees

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Internal Control. For additional routine uses see Appendix A.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Direct Access.

Safeguards: Locked file cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.141

System name: Inventory Control Cards—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinets.

Retrievability: Direct Access.

Safeguards: Locked file cabinets.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.251

System name: Personnel Files (Active)—Treasury/Comptroller.

System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Personnel actions, promotions, training, performance, i.e. addresses. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Direct access.

Safeguards: Locked, metal fireproof file cabinet.

Retention and disposal: Permanent while active.

System manager(s) and address: Regional Administrator (see "Location" above for address.)

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.
 Contesting record procedures: See Comptroller Appendix A.
 Record source categories: Employee.

Treasury/Comptroller 00.259

System name: Personnel Files (Inactive—Treasury/Comptroller).
 System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.
 Categories of individuals covered by the system: Employees.
 Categories of records in the system: Personnel.
 Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.
 Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference employment career planning. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Direct access.

Safeguards: Locked, metal fireproof file cabinet.

Retention and disposal: 1 year in Region, 2 years in Fed. Records Center.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.142

System name: Public Files—Treasury/Comptroller.
 System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Bank Officials General Public.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinets.

Retrievability: Direct Access.

Safeguards: Locked file cabinets.

Retention and disposal: 10 years; 3 years in region. 7 years in Fed Records Ctr. then dispose.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.143

System name: Regional Telephone log—Treasury/Comptroller.
 System location: 882 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference. For additional routine use see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Direct Access.

Safeguards: Locked file cabinets.

Retention and disposal: 1 year.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.144

System name: Travel Voucher Files—Treasury/Comptroller.
 System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reimbursement of travel voucher. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Direct Access.

Safeguards: Locked file cabinet.

Retention and disposal: 4 years; 1 year in region & 3 years at Fed. Records Center.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.145

System name: Weekly Itineraries—Treasury/Comptroller.
 System location: 822 Marquette Avenue, Room 300, Minneapolis, Minnesota 55402.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Assignment projected assignments & leave. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Direct Access.

Safeguards: Locked file cabinet.

Retention and disposal: 6 mos. in region & 1-1/2 years in records center.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.146

System name: Accident Report—Treasury/Comptroller.
 System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Form 91, 91A and Optional Form 26.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Matter of record: Ap-

approval of renewal of employee vehicle authorization. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Name/Date.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.147

System name: Civil Defense Card Control Register-Treasury/Comptroller

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: National Bank Examiners, Assistant National Bank Examiners, Representatives in Trusts, Associates in Trusts and Assistants in Trusts.

Categories of records in the system: Listing of issuances of Civil Defense Cards.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Interoffice Control. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Files Cabinet.

Retrievability: Civil Defense Card Number.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington Office and Employees.

Treasury/Comptroller 00.148

System name: Comprehensive Listing of Employee Master File Form TUS-404—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Employees.

Categories of records in the system: EDP Printout.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Appendix AA for routine uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Social Security Number by Pay Period.

Safeguards: Locked File Cabinet.

Retention and disposal: One year shredded.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Federal Disbursing Center.

Treasury/Comptroller 00.149

System name: Consumer Complaint Index—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Any individual who lodges a complaint against a national bank.

Categories of records in the system: Name of individual and address; name of bank involved and address; date bank notified of complaint; follow-up date; closing date of complaint.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Utilized to check complaint status until closing date. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Date complaint letter is forwarded to bank for comment.

Safeguards: Locked File Cabinet.

Retention and disposal: Two years.

System manager(s) and address: Regional Counsel (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Filing of a complaint letter by a complainant.

Treasury/Comptroller 00.150

System name: E Bond Listing—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Employees.

Categories of records in the system: EDP Printout.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Check issuances of Series E Bonds. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Social Security Number by Pay Period.

Safeguards: Locked File Cabinet.

Retention and disposal: One year shredded.

System manager(s) and address: Regional Administrator (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Federal Disbursing Center.

Treasury/Comptroller 00.151

System name: Employee Annual and Sick Leave Card—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Shows annual and sick leave by month, by day.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used to post leave to TUS-430's; used for review of leave used which is easily accessible on one card or sheet in one place. For additional routine uses Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Alphabetically.

Safeguards: Locked File Cabinet.

Retention and disposal: Four years shredded.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.152

System name: Employee Vehicle Authorization Form CC-6042-22—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Description of the automobile, insurance, driving violations and accidents.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Authority to use auto for official duty. For additional routine use see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Alphabetically.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent until superseded due to any change; renewed every two years.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.153

System name: Identification Pin Control Register—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: National Bank Examiners, Assistant National Bank Examiners, Representatives in Trusts, Associates in Trusts and Assistants in Trusts.

Categories of records in the system: Listing of issuances of Identification Lapel Pins.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Interoffice Control. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: By name as issued by date.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.154

System name: Inventory Control of Property—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Listings of property assignments for briefcases, portable typewriters, and electronic calculators.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Control. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Initially by Item and Property No., thereafter by Serial No. and Employee name.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent as superseded or changed.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Assignment.

Treasury/Comptroller 00.242

System name: Job Applications—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Applicants for positions.

Categories of records in the system: File folder containing letters, resumes, college transcripts, pre-employment test, and interview form relating to application for employment.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Screening applicants for employment. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically by name, by year.

Safeguards: Locked file cabinet.

Retention and disposal: Three years, shredded.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Information furnished by applicant; test and interview administered by Regional Recruiter.

Treasury/Comptroller 00.155

System name: Mailing List Master Sheet.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: All employees except Regional Office employees.

Categories of records in the system: Xerox master for making address labels on Xerox machine.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Mailings to employees. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: By name.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent as superseded or changed.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.252

System name: Personnel File—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Clerical Personnel with Career and Career-Conditional Appointments.

Categories of records in the system: Application Form (SF 171), Notifications of Personnel Actions (SF 50), Letters of Reference, Request for the Completion of Training Forms.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C.9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Appointment, Promotion, Training, Insurance, Employment History, Performance Evaluation, Employment Reference, Personal Advice, Career Planning, Retirement, Security Clearance, Address and Telephone. For additional routine uses, see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically.

Safeguards: Locked file cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: See category of records.

Treasury/Comptroller 00.253

System name: Personnel File—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Employees with excepted appointments.

Categories of records in the system: Application Form (SF 171), Security Investigation Data Form (SF 86) Standard Interview Form (CSC Form 299), Notifications of Personnel actions (SF 50) for appointments, promotions, transfers, etc., College transcripts, Report of Transfer or Discharge from the Armed Forces of the United States (Form DD-214), Letters of Reference, Completion of training and request for Training Forms, Performance Evaluations, Memo notes made during personal visits between employee and Regional Administrator and/or Deputy Regional Administrator.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Appointment, Promotion, Training, Insurance, Employment History, Performance Evaluation, Employment Reference, Personal Advice, Career Planning, Retirement, Security Clearance, Address and Telephone. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically.

Safeguards: Locked file cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: See Category of Record.

Treasury/Comptroller 00.156

System name: Pocket Identification Card Control Register—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: National Bank Examiners, Assistant National Bank Examiners, Representatives in Trusts, Associates in Trusts and Assistants in Trusts, and Financial Interns.

Categories of records in the system: Listing of issuances of Identification Cards.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Interoffice Control. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: ID Card Number by type (National Bank Examiner, Assistant Examiner, etc.)

Safeguards: Locked file cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator. (See "Location" above.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington Office and Employees.

Treasury/Comptroller 00.157

System name: Telephone Log—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Public, including banders and all employees.

Categories of records in the system: A daily log of incoming and outgoing telephone calls.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Placing telephone calls. Checking telephone bills. Reference. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: In sequence by date.

Safeguards: Locked Desk Drawer.

Retention and disposal: One year shredded.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.158

System name: Time and Attendance Report (TUS-430)—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Time in pay status, annual and sick leave, and other leave. Leave supported by Application for Leave (SF-71) Carbon copies.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Payment of salary. Record of leave. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Alphabetically by Agency ID No. by pay period.

Safeguards: Locked File Cabinet.

Retention and disposal: Four years shredded.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Federal Disbursing Center.

Treasury/Comptroller 00.159

System name: Time and Leave Register—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Employees.

Categories of records in the system: EDP Printout.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Computing of Leave used and leave balances. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Social Security Number by Pay Period.

Safeguards: Locked File Cabinet.

Retention and disposal: One year shredded.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Federal Disbursing Center.

Treasury/Comptroller 00.160

System name: Application for Travel Advance Form CC-6042-17—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Request for advance of funds.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Advance of funds by Fiscal Management Division, Repayment of advance upon resignation, retirement or termination. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Alphabetically (Form CC-6042-17), (Carbon copy) and EDP Printout by Social Security number.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent; until repaid.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Form CC-6042-17 from employee, EDP Printout from Washington Office.

Treasury/Comptroller 00.161

System name: Travel and Expense Vouchers Form CC-6040-03—Treasury/Comptroller.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Carbon copy of monthly record of travel claims.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reimbursement of travel expenses. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Alphabetically.

Safeguards: Locked File Cabinet.

Retention and disposal: Four years shredded.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee and Washington Office.

Treasury/Comptroller 00.162

System name: Weekly Itinerary Form CC-1427-OX.

System location: 911 Main Street, Suite 2616, Kansas City, Missouri 64105.

Categories of individuals covered by the system: National Bank Examiners and Representatives in Trusts.

Categories of records in the system: Location of Bank Examination.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9, 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Scheduling, Location of Personnel in travel status, Report of Examinations. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Alphabetically by week.

Safeguards: Locked File Cabinet.

Retention and disposal: Four years shredded.

System manager(s) and address: Regional Administrator. (See "Location" above for address.)

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: National Bank Examiners and Representatives in Trusts.

Treasury/Comptroller 00.163

System name: Accident Report—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Form 91, 91A and Optional Form 26.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Matter of record; Approval of renewal of employee vehicle authorization. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinets.

Retrievability: Name/Date.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (See location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.164

System name: Civil Defense Card Control Register—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: National Bank Examiners, Assistant National Bank Examiners, Representatives in Trusts, Associates in Trusts and Assistants in Trusts.

Categories of records in the system: Listing of issuances of Civil Defense Cards.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Interoffice Control. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Civil Defense Card Number.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (See location above).

Notification procedure: See Comptroller, Appendix A.

Record access procedures: See Comptroller, Appendix A.

Contesting record procedures: See Comptroller, Appendix A.

Record source categories: Washington Office and Employees.

Treasury/Comptroller 00.165

System name: Comprehensive Listing of Employee Master File Form TUS 404—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Employees.

Categories of records in the system: EDP Printout.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Employee utilization file. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Social Security Number by Pay Period.

Safeguards: Locked File Cabinet.

Retention and disposal: One year shredded.

System manager(s) and address: Regional Administrator (See location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Federal Disbursing Center.

Treasury/Comptroller 00.166

System name: Consumer Complaint Index—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Any individual who lodges a complaint against a national bank.

Categories of records in the system: Name of individual and address; name of bank involved and address; date bank notified of complaint; follow-up date; closing date of complaint.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Utilized to check complaint status until closing date. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper.

Retrievability: Date complaint letter is forwarded to bank for comment.

Safeguards: Locked File Cabinet.

Retention and disposal: Two years.

System manager(s) and address: Regional Counsel (See location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Filing of a complaint letter by a complainant.

Treasury/Comptroller 00.167

System name: E Bond Listing—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Employees.

Categories of records in the system: EDP Printout.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Check issuances of Series E Bonds. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Social Security Number by Pay Period.

Safeguards: Locked File Cabinet.

Retention and disposal: One year shredded.

System manager(s) and address: Regional Administrator (See location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Federal Disbursing Center.

Treasury/Comptroller 00.168

System name: Employee Annual and Sick Leave Card—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Shows annual and sick leave by month, by day.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used to post leave to TUS-430's; used for review of leave used which is easily accessible on one card or sheet in one place. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically.

Safeguards: Locked File Cabinet.

Retention and disposal: Four years shredded.

System manager(s) and address: Regional Administrator (See location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.169

System name: Employee Vehicle Authorization Form CC-6042-22—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Description of the automobile, insurance, driving violations and accidents.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Authority to use auto for official duty. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper.

Retrievability: Alphabetically.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent until superseded due to any changes renewed every two years.

System manager(s) and address: Regional Administrator (See location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.170

System name: Identification Pin Control Register—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: National Bank Examiners, Assistant National Bank Examiners, Representatives in Trusts, Associates in Trusts and Assistants in Trusts.

Categories of records in the system: Listing of issuances of Identification Lapel Pins.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Interoffice Control. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: By name as issued by date.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent file.

System manager(s) and address: Regional Administrator (See location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.171

System name: Inventory Control of Property—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Listings of property assignments for briefcases, portable typewriters, and electronic calculators.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Control. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper.

Retrievability: Initially by Item and Property No., thereafter by Serial No. and Employee name.

Safeguards: Locked File Cabinet.

Retention and disposal: Retained as superseded or changed.

System manager(s) and address: Regional Administrator (See location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Assignment.

Treasury/Comptroller 00.243

System name: Job Applications—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Applicants for positions.

Categories of records in the system: File folder containing letters, resumes, college transcripts, pre-employment tests, and interview form relating to application for employment.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Screening applicants for employment. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically by name, by year.

Safeguards: Locked file cabinet.

Retention and disposal: After three years shredded.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Information furnished by applicant; test and interview administered by Regional Recruiter.

Treasury/Comptroller 00.172

System name: Mailing List Master Sheet—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: All employees except Regional Office employees.

Categories of records in the system: Xerox master for making address labels on Xerox machine.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Mailings to employees. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: By name.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent as superseded or changed.

System manager(s) and address: Regional Administrator (See location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.254

System name: Personnel File—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Employees with excepted appointments.

Categories of records in the system: Application Form (SF 171), Security Investigation Data Form (SF 86), Standard Interview Form (CSC Form 299), Notifications of Personnel actions (SF 50) for appointments, promotions, transfers, etc., College transcripts, Report of Transfer or Discharge from the Armed Forces of the United States (Form DD-214), Letters of Reference, Completion of training and request for Training Forms, Performance Evaluations, Memo notes made during personal visits between employee and Regional Administrator and/or Deputy Regional Administrator.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Appointment, Promotion, Training, Insurance, Employment History, Performance Evaluation, Employment Reference, Personal Advice, Career Planning, Retirement, Security Clearance, Address and Telephone. For additional routine uses, see Treasury Appendix A.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically.

Safeguards: Locked file cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: See Category of Record above.

Treasury/Comptroller 00.255

System name: Personnel File—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Clerical Personnel with Career and Career-Conditional Appointments.

Categories of records in the system: Application Form (SF 171), Notifications of Personnel Actions (SF 50), Letters of Reference, Request for the Completion of Training Forms.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Appointment, Promotion, Training, Insurance, Employment History, Performance Evaluation, Employment Reference, Personal Advice, Career Planning, Retirement, Security Clearance, Address and Telephone. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically.

Safeguards: Locked file cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: See Category of Record above.

Treasury/Comptroller 00.173

System name: Pocket Identification Card Control Register—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: National Bank Examiners, Assistant National Bank Examiners, Representatives in Trusts, Associates in Trusts and Assistants in Trusts, and Financial Interns.

Categories of records in the system: Listing of issuances of Identification Cards.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Interoffice Control. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: ID Card Number by type (National Bank Examiner, Assistant Examiner, etc.).

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent.

System manager(s) and address: Regional Administrator (See location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Washington Office and Employees.

Treasury/Comptroller 00.174

System name: Telephone Log—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Public, including bankers and all employees.

Categories of records in the system: A daily log of incoming and outgoing telephone calls.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Placing telephone calls. Checking telephone bills. Reference. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: In sequence by date.

Safeguards: Locked Desk Drawer.

Retention and disposal: One year shredded.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.175

System name: Time and Attendance Report (TUS-430)—Treasury/Comptroller

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Time in pay status, annual and sick leave, and other leave. Leave supported by Application for Leave (SF 71) Carbon copies.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Payment of salary. Record of leave. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically by Agency ID No. by pay period.

Safeguards: Locked File Cabinet.

Retention and disposal: Four years shredded.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Federal Disbursing Center.

Treasury/Comptroller 00.176

System name: Time and Leave Register—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Employees.

Categories of records in the system: EDP Printout.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Leave used and leave balances. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Social Security Number by Pay Period.

Safeguards: Locked File Cabinet.

Retention and disposal: One year shredded.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Federal Disbursing Center.

Treasury/Comptroller 00.177

System name: Application for Travel Advance Form CC-6042-17—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Request for advance of funds.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Advance of funds by Fiscal Management Division, Repayment of advance upon resignation, retirement or termination—For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Alphabetically (Form CC-6042-17), (Carbon copy) and EDP Printout by Social Security number.

Safeguards: Locked File Cabinet.

Retention and disposal: Permanent until superseded.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Form CC-6042-17 from employee, EDP Printout from Washington Office.

Treasury/Comptroller 00.178

System name: Travel and Expense Vouchers Form CC-6040-03—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Carbon copy of monthly record of travel claims.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reimbursement of travel expenses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically.

Safeguards: Locked File Cabinet.

Retention and disposal: Four years shredded.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee and Washington Office.

Treasury/Comptroller 00.179

System name: Weekly Itinerary Form CC-1427-OX—Treasury/Comptroller.

System location: 1401 Elm Street, Suite 4500, Dallas, Texas 74202.

Categories of individuals covered by the system: National Bank Examiners and Representatives in Trusts.

Categories of records in the system: Location of Bank Examination.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Scheduling, Location of Personnel in travel status, Report of Examinations. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Alphabetically by week.

Safeguards: Locked File Cabinet.

Retention and disposal: Four years shredded.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: National Bank Examiners and Representatives in Trusts.

Treasury/Comptroller 00.227

System name: Active Personnel files—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Active Employee file.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Promotion, training, employment history, evaluation. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically.

Safeguards: Locked files.

Retention and disposal: In perpetuity.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.180

System name: Automobile authorization file—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Form CC-6042-22 (Rev. 9/74).

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Authority to drive and driving record. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: In individual personnel files, file cabinets.

Retrievability: Alphabetically.

Safeguards: Locked files.

Retention and disposal: Renewable every two years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.181

System name: Civil Defense Card Register—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Listing as issued.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Record of cards issued, destroyed or lost. For additional uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Notebook in File Cabinet.

Retrievability: Alphabetically and chronologically.

Safeguards: Secured file cabinet.

Retention and disposal: In perpetuity.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Administrative Assistant.

Treasury/Comptroller 00.182

System name: Computer Leave Printout—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Computer listing of leave balance.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Verify leave records and to respond to individual inquiry. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinets.

Retrievability: Organization Code and Social Security number.

Safeguards: Locked files.

Retention and disposal: Retained until reconciled.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Pay Center.

Treasury/Comptroller 00.183

System name: E Bond List—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Computer listing of bonds issued.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Record of bond issue for response to individual inquiries on receipt thereof. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinets.

Retrievability: Organization Code and Social Security number.

Safeguards: Locked files.

Retention and disposal: Six months.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Pay center, pay records.

Treasury/Comptroller 00.184

System name: Employee mailing list—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Addresses and telephone numbers of personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For telephone use and mailing list. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically.

Safeguards: Office.

Retention and disposal: New list made every two months. Others destroyed.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Administrative Assistant.

Treasury/Comptroller 00.185

System name: Employee Time Cards Copies—Treasury/Comptroller

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Employee.

Categories of records in the system: TUS—430.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Record of leave taken each pay period. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File box.

Retrievability: Organization Code and Social Security number.

Safeguards: Steel Box.

Retention and disposal: One year until reconciled.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.235

System name: Inactive Personnel Files—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Former employee file.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Employment history. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically.

Safeguards: Locked files.

Retention and disposal: In perpetuity.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.186

System name: Identification Card Register—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Listing as issued.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Record of cards issued, destroyed or lost. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Notebook—File Cabinet.

Retrievability: Alphabetically and chronologically.

Safeguards: Locked File Cabinet.

Retention and disposal: In perpetuity.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Administrative Assistant.

Treasury/Comptroller 00.187

System name: Identification Pin Register—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Listing as issued.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Record of pins issued, destroyed or lost. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Alphabetically and chronologically.

Safeguards: Bookcase—File cabinet.

Retention and disposal: In perpetuity.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Administrative Assistant.

Treasury/Comptroller 00.188

System name: Telephone Log—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Receptionists.

Categories of records in the system: Daily records of telephone calls.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Verify incoming and outgoing long distance calls. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Notebook.

Retrievability: chronologically.

Safeguards: Locked desk drawers.

Retention and disposal: Three years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Receptionist.

Treasury/Comptroller 00.189

System name: Transportation request—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Request for travel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For record of issue to individual employee. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Notebook.

Retrievability: Alphabetically.

Safeguards: File cabinets.

Retention and disposal: In perpetuity.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Administrative Assistant.

Treasury/Comptroller 00.262

System name: Travel Advance List—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Computer listing of each employee and amount owed department.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To determine obligation to department upon resignation or employee going on LWOP. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Organization Code and Social Security number.

Safeguards: Locked files.

Retention and disposal: Retain current list only.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Washington Office.

Treasury/Comptroller 00.190

System name: Travel Vouchers—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Form CC-6040-03 7/74 (copy).

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Expense records. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Cabinet.

Retrievability: Alphabetically.

Safeguards: Locked files.

Retention and disposal: Four years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.191

System name: Visitor's Log—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Official Office Visitors.

Categories of records in the system: Daily calendar.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Record of visits for documentation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Notebook, Locked desk drawer.

Retrievability: Daily calendar.

Safeguards: Locked desk drawer.

Retention and disposal: One year.

System manager(s) and address: Regional Administrator (see location below).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Receptionist.

Treasury/Comptroller 00.192

System name: Weekly itineraries—Treasury/Comptroller.

System location: 1600 Broadway, Suite 1800, Denver, Colorado 80202.

Categories of individuals covered by the system: Employee.

Categories of records in the system: Form CC-1457-OX.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Verify examining schedules. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically.

Safeguards: Locked files.

Retention and disposal: Two years.

System manager(s) and address: Regional Administrator (see location below).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.193

System name: Active Personnel Files, automobile authorization and Travel Advances—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Personal history.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Promotions, Training, Insurance, Performance evaluation, Employment reference, Personal advice, Career and Planning, Retirement, Security Clearance, Address and Telephone. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinets.

Retrievability: Indexed alphabetically by name.

Safeguards: Combination lock.

Retention and disposal: Indefinite.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee, Supervisors, former employees.

Treasury/Comptroller 00.194

System name: Civil Defense Card Register—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Card Record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Control Records. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically by name.

Safeguards: File cabinet.

Retention and disposal: Indefinite.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Washington Office.

Treasury/Comptroller 00.195

System name: Comprehensive history of Employee Master File—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Payroll history.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Social Security Number and Alphabetically by name.

Safeguards: Combination lock.

Retention and disposal: Indefinite.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Disbursement Center & Washington Office.

Treasury/Comptroller 00.196

System name: Computer Leave, Balance Printout—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Leave history.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinets.

Retrievability: Social Security Number and Alphabetically by name.

Safeguards: Combination lock.

Retention and disposal: Indefinite.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Disbursement Center & Washington Office.

Treasury/Comptroller 00.197

System name: E Bond List—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Bond history.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Social Security Number and Alphabetically by name.

Safeguards: Combination lock.

Retention and disposal: Indefinite.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Disbursement Center & Washington Office.

Treasury/Comptroller 00.198

System name: Employee Annual Leave Record Cards—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Leave records or personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Payroll. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Social Security Number and Alphabetically by name.

Safeguards: File cabinet.

Retention and disposal: Three years—shredded.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Disbursement Center.

Treasury/Comptroller 00.199

System name: Examiners I.D. Card Register—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Card Record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Control Records. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically by name.

Safeguards: File cabinet.

Retention and disposal: Indefinite.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Washington Office.

Treasury/Comptroller 00.200

System name: Examiners I.D. Pin Register—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Card Record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Control Records. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically by name.

Safeguards: Secured File cabinet.

Retention and disposal: Indefinite.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Washington Office.

Treasury/Comptroller 00.236

System name: Inactive Personnel Files—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Personal history.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Employment reference. For additional routine uses, see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Indexed alphabetically by name.

Safeguards: Combination lock.

Retention and disposal: Indefinite.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee, Supervisors, former employees.

Treasury/Comptroller 00.201

System name: Inventory Control Sheets—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Items, cost depreciation.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference Control. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Number (referenced by name).

Safeguards: File cabinet.

Retention and disposal: Indefinite.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.244

System name: Job Application Forms—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Personal history.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Hiring, decisions, job assignments. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Indexed alphabetically by name.

Safeguards: File cabinet.

Retention and disposal: One year—shredded.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.202

System name: Mailing Plates—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Address.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Mailing. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Metal.

Retrievability: Alphabetically by name.

Safeguards: File cabinet.

Retention and disposal: until obsolete.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.203

System name: Regional Telephone Log—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Telephone calls.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper. File cabinet.

Retrievability: Alphabetically by name.

Safeguards: Desk.

Retention and disposal: Indefinite.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.204

System name: Travel Voucher Files—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Work related expenditures.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference for leave, educational purposes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper. File cabinet.

Retrievability: Indexed alphabetically by name.

Safeguards: Locked file cabinet.

Retention and disposal: three years—shredded.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.205

System name: Weekly Itineraries—Treasury/Comptroller.

System location: 707 SW Washington Street, Room 900, Portland, Oregon 97205.

Categories of individuals covered by the system: Regional Office Employees.

Categories of records in the system: Bank Examination Record.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Communication with employees, determining work progress. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetically by name.

Safeguards: File cabinet.

Retention and disposal: Indefinite.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employee.

Treasury/Comptroller 00.228

System name: Active Personnel Files—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Promotion Training Insurance, Employment History Performance, Evaluation. For additional routine uses see previously published Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetical index by name.

Safeguards: Locked file cabinets.

Retention and disposal: While employed.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.206

System name: Automobile Authorizations—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Approval of private automobile use. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetical Index by name.

Safeguards: Locked file Cabinets.

Retention and disposal: While in force.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.207

System name: Civil Defense Card Register—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Control.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Control of Civil Defense Cards. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Numerical Order.

Safeguards: Locked file Cabinets.

Retention and disposal: Perpetuity.

System manager(s) and address: Regional Administrator (see Location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.208

System name: Consumer Complaint Index—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Examining.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To determine the nature of existing problems and if possible assist in the resolution thereof. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetical Index by name.

Safeguards: Locked file cabinets.

Retention and disposal: Perpetuity.

System manager(s) and address: Regional Administrator (see Location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Complaints and Banks.

Treasury/Comptroller 00.209

System name: "E" Bond List—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Fiscal.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Audit. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Social Security Number.

Safeguards: Locked file cabinet.

Retention and disposal: Two years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Treasury Department Disbursing Center.

Treasury/Comptroller 00.210

System name: Employee Annual Leave, Record Cards—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Fiscal.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Audit and compilation of proper leave materials—For additional routine use see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetical Index by name.

Safeguards: Locked file cabinets.

Retention and disposal: Three years.

System manager(s) and address: Regional Administrator (See Location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.211

System name: Examiners ID, Card Register—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Control.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Control—for additional routine uses see appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Numerical order.

Safeguards: Locked file cabinets.

Retention and disposal: Perpetuity.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.212

System name: Form TUS 404 Comprehensive, History of Employee Master, File—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Former employees.

Categories of records in the system: Fiscal.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Audit—For additional routine uses see appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Social Security Number.

Safeguards: Locked file cabinets.

Retention and disposal: Two years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Treasury Department Disbursing Center.

Treasury/Comptroller 00.213

System name: Form TUS 430 Computer, Leave Balance Printout—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Fiscal.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Audit and payroll preparation and analysis—For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Social Security Number.

Safeguards: Locked file cabinets.

Retention and disposal: Three years.

System manager(s) and address: Regional Administrator (See location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Treasury Department Disbursing Center.

Treasury/Comptroller 00.214

System name: ID Pin Register—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Control.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Audit and Reference of who called, when, and purpose of call—For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Numerical order.

Safeguards: Locked file Cabinets.

Retention and disposal: Perpetuity.

System manager(s) and address: Regional Office (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.237

System name: Inactive Personnel File—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Former employees.

Categories of records in the system: Personnel.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Employment Reference, Personal Advice, Career Planning, Retirement Security Clearance, Address and Telephone numbers. For additional routine uses see Treasury Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetical index by name.

Safeguards: Locked file cabinets.

Retention and disposal: Three years.

System manager(s) and address: Regional Administrator, see location above.

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.215

System name: Inventory Control Sheets—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Control.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Control of issued and accountable materials and equipment—For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetical Index by Name.

Safeguards: Locked file cabinets.

Retention and disposal: Perpetuity.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees and Subscribers.

Treasury/Comptroller 00.216

System name: List of Travel Advances—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Fiscal.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Audit—For additional routine uses see appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Social Security Number.

Safeguards: Locked file Cabinets.

Retention and disposal: Two years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Comptroller of the Currency, Washington, D.C.

Treasury/Comptroller 00.217

System name: Mailing Plates—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Employees and Subscribers to Publications.

Categories of records in the system: Mail.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Envelope Addressing—For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinets.

Retrievability: Alphabetical Order.

Safeguards: Metal Cabinets While Active.

Retention and disposal: Until Obsolete.

System manager(s) and address: Regional Administrator (See location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees and Subscribers.

Treasury/Comptroller 00.218

System name: Regional Telephone log—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Reference.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Audit and Reference of who called, when, and purpose of call—For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Chronological Order.

Safeguards: Locked File Cabinets.

Retention and disposal: Perpetuity.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.219

System name: Travel Vouchers—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Former Employees.

Categories of records in the system: Fiscal.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reimbursement of Employee who travel pursuant to official business—For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetical Index by Name.

Safeguards: Locked file Cabinets.

Retention and disposal: Four years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees.

Treasury/Comptroller 00.220

System name: Visitors log—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Callers.

Categories of records in the system: Reference.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Audit and Reference of who called, when, and purpose of call—For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File drawer.

Retrievability: Chronological Order.

Safeguards: Locked file cabinets.

Retention and disposal: Perpetuity.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Regional Office.

Treasury/Comptroller 00.221

System name: Weekly Itineraries—Treasury/Comptroller.

System location: 555 California Street, Room 3939, San Francisco, California 94104.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Personal.

Authority for maintenance of the system: 12 U.S.C. 1 and 12 U.S.C. 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Audit—For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Alphabetical Index by name.

Safeguards: Locked file cabinets.

Retention and disposal: Two years.

System manager(s) and address: Regional Administrator (see location above).

Notification procedure: See Comptroller Appendix A.

Record access procedures: See Comptroller Appendix A.

Contesting record procedures: See Comptroller Appendix A.

Record source categories: Employees.

COMPTROLLER OF THE CURRENCY

APPENDIX A

NOTIFICATION:

Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

ACCESS AND CONTEST:

Special Assistant for Public Affairs, Comptroller of the Currency, Sixth Floor, 490 E. L'Enfant Plaza, S.W., Washington, D.C. 20219.

Treasury/USSBD 00.001

System name: Savings Bonds Employee Records
System—Treasury/USSBD.

System location: Savings Bonds Division, Department of the Treasury, 1111 20th Street, N.W., Washington, D.C. 20226.

Categories of individuals covered by the system: Employees of USSBD.

Categories of records in the system: Appeal and Grievance Records, Applicant Supply Files, Case Actions, Employee Earning Statements, Employee Financial Statements, Equal Employment Opportunity Files, Incentive Awards and Reports, Itineraries, Locator Cards, Medical Records, Merit Promotion, Motor Vehicle Records, Payroll, Performance Evaluation, Personal Investigation, Position Control, Reduction in Force File, Register of Separation and Transfer, Retirement Cards, Time and Attendance Records, Tort Claims, Training Records and Reports, Travel Vouchers.

Authority for maintenance of the system: Treasury Department Order No. 13 established the Division of Savings Bonds under the office of the Fiscal Assistant Secretary, April 1941.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Personnel Office of the Savings Bonds Division, Department of the Treasury, maintains in its system of records detailed information pertaining to each of the specific categories listed in Categories of Individuals. Routine use of the various files enables Personnel to have ready access to applicants for hiring purposes, placement and to aid in assessing the need for employee training and promotion. Also, other records carry accrual information that permits annual reviews on an employee's performance. All information is used solely for the purpose for which it was collected which serves as a general internal source bank.

The Budget and Fiscal section of the Savings Bonds Division maintains in its record system data pertaining to each of the identifiable categories listed in Categories of Individuals. This information permits the Section to make employee payroll reconciliations, budget forecasts, check and bond issuance verifications, internal audits, supply retirement records to the Civil Service Commission, prepare earning statements and document payments of employee travel claims.

For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: All records in Personnel, with the exception of card files, are stored in metal correspondence files, indexed by individual names and numbers. Files are maintained in separate offices according to the nature or content of data. Files are accessible to Personnel employees and are locked at the close of each day. Records pertaining to personal historical data are maintained for two years and are then sent to the Federal Records Center. The records of a less important nature are destroyed after the two-year period. Storage of financial information is maintained on computer printouts supplied by Government Financial Operations. Individual retirement cards, time and attendance reports and travel vouchers of employees are stored in separate files and are accessible by name and social security number. All payroll and time and attendance records are retained between audit periods (normally two years) and then destroyed by shredding. Retirement cards go to the gaining agency or to the Civil Service Commission. Travel vouchers are maintained on file for three years after audit and then sent to the Federal Records Center.

System manager(s) and address: Director of Administration, Department of the Treasury, Savings Bonds Division, 1111 20th Street, N.W., Washington, D.C. 20226.

Notification procedure: Records that are housed by the Savings Bonds Division are not of a nature that would warrant strict guidelines for accessibility. An individual may request access to his

record or any information pertaining to him by merely notifying the office or officer in charge. The individual, however, must be under the supervision of a Savings Bonds officer during the entire time he has this information in his possession.

Record access procedures: See System Manager and Notification above.

Contesting record procedures: See System Manager and Notification above.

Record source categories: Data accumulated in the record system at Savings Bonds are gathered from the individual and/or from sources directly connected with the employee's appointment.

Systems exempted from certain provisions of the act: Portions of this system are exempted elsewhere in the Federal Register.

Treasury/USSBD 00.002

System name: Savings Bonds Sales Promotion/Volunteer Record System—Treasury/USSBD.

System location: Savings Bonds Division, Department of the Treasury, 1111 20th Street, N.W., Washington, D.C. 20226; and/or Regional and Branch Offices.

Categories of individuals covered by the system: Bond Tellers, Campaign Managers, Campaign Nominees, Committee Volunteer Lists and Contacts, General Correspondence, Geographic Chairmen, Governmental Biographical Sketches, Honorary Chairmen, Individual Volunteer Lists, Mailing Lists—General and Labor, Major Corporation Executives, National Panel of Public Relations, Promotion Fund Lists, State-County Chairmen, State and Volunteer Fund Lists, "Take Stock in America" Records, Telephone Calls, Volunteer Bio's.

Categories of records in the system: Administrative lists and related detail.

Authority for maintenance of the system: Treasury Department Order No. 13 established the Division of Savings Bonds under the office of the Fiscal Assistant Secretary, April 1941.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Sales Office of the Savings Bonds Division, Department of the Treasury, maintains a nation-wide volunteer sales force that promotes the sale of Savings Bonds. The listing in Category of Individuals describes the type of data that supports this effort. This information provides a means by which the Sales Division may review plans and follow progress of individuals in their sale and promotion of Savings Bonds, supplies volunteer lists and bios for recruiting, appointing and retiring volunteer leaders. Lists also provide a means of supplying volunteers with Savings Bonds program materials and information, invitations to meetings, special bulletins, letters of progress, sales reports and newsletters. Lists are available only for Savings Bonds purposes. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Mailing lists are accessible to employees and stored on addressograph plates. Other correspondence and materials are filed in the regular correspondence file cabinets and permanently retained.

System manager(s) and address: Deputy National Director, Department of the Treasury, Savings Bonds Division, 1111 20th Street, N.W., Washington, D.C. 20226.

Notification procedure: Records that are housed by the Savings Bonds Division are not of a nature that would warrant strict guidelines for accessibility. An individual may request access to his record or any information pertaining to him by merely notifying the office or officer in charge. The individual, however, must be under the supervision of a Savings Bonds officer during the entire time he has this information in his possession.

Record access procedures: See System Manager and Notification above.

Contesting record procedures: See System Manager and Notification above.

Record source categories: Data accumulated in the record system at Savings Bonds are gathered from the individual and/or from sources directly connected with the volunteer's appointment.

Treasury/USSBD 00.003

System name: Savings Bonds Sales Record System—Treasury/USSBD.

System location: Savings Bonds Division, Department of the Treasury, 1111 20th Street, N.W., Washington, D.C. 20226; and/or Regional Offices.

Categories of individuals covered by the system: Blue Ribbon Target Cards, Blue Ribbon Target Status Control Sheets, Field Call Reports, Itineraries, Net Saver Reports, Payroll Savings Reporting Procedures Forms, Progress Summaries, Time and Attendance Records, Training Reports, Work Plans.

Categories of records in the system: Routine lists and administrative details associated with sales.

Authority for maintenance of the system: Treasury Department Order No. 13 established the Division of Savings Bonds under the office of the Fiscal Assistant Secretary, April 1941.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Sales unit of the Savings Bonds Division houses records of individual sales plans, program plans and regional reports for the purpose of coordinating plans for smoother operation of field work. Final plans are disseminated to field and/or volunteer offices for implementation. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Records of this nature are filed in large notebooks and are indexed according to individual names, regions, areas and states. Notebooks are placed on shelves and do not warrant tight security. High priority records are kept for long periods as references, others are destroyed after a two year period.

System manager(s) and address: Director of Sales, Department of the Treasury, Savings Bonds Division, 1111 20th Street, N.W., Washington, D.C. 20226.

Notification procedure: Records that are housed by the Savings Bonds Division are not of a nature that would warrant strict guidelines for accessibility. An individual may request access to his record or any information pertaining to him by merely notifying the office or officer in charge. The individual, however, must be under the supervision of a Savings Bonds officer during the entire time he has this information in his possession.

Record access procedures: See Notification and System Manager.

Contesting record procedures: See Notification and System Manager.

Record source categories: Data accumulated in the sales record system at Savings Bonds are gathered from the individual and/or from sources directly connected with the employee's appointment.

Treasury/FLETC 00.003

System name: FLETC Confidential Financial Records—Treasury/FLETC.

System location: FLETC, Office of the Director, Administration Building, Glynnco, Georgia 31520.

Categories of individuals covered by the system: Employees classified at GS-13 or above who are in positions identified as positions the basic duties and responsibilities of which require the incumbent to exercise judgment in making a Government decision or in taking Government action on contracting or procurement. Specifically, Director; Deputy Director; Assistant Director for Administration; Assistant Director for Training; Director, Criminal Investigator School; Director, Police School; Management and Financial Planning Officer; Administrative Officer, Education Specialist.

Categories of records in the system: All information required by or related to employment and financial interests of GS-13 and above employees.

Authority for maintenance of the system: Federal Personnel Manual Chapter 735 and Executive Order 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide certification to the Civil Service Commission that Statements of Employment and Financial Interests are on file for each employee and special Government employee required to submit such statement under the regulations of the employing agency. Also, information for the agency head only to be disclosed only upon his determination or that of the Chairman of the U.S. Civil Service Commission for good cause shown. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files.

Retrievability: Name.

Safeguards: Physical Security, personnel screening and security check list are all utilized to prevent unauthorized disclosure of records.

Retention and disposal: Retained and updated annually and destroyed at the departure of employee from FLETC rolls.

System manager(s) and address: Director, FLETC, Administration Building, Glynco, Georgia 31520.

Notification procedure: The individual must provide full name, date of birth, dates of employment with the Center to: Director, FLETC, Administration Building, Glynco, Georgia 31520.

Record access procedures: By formal letter to the System Manager.

Contesting record procedures: See Access above.

Record source categories: The employee on whom the record is maintained.

Treasury/FLETC 00.001

System name: FLETC Payroll System—Treasury/FLETC.

System location: FLETC, Office of Administration, Administration Building, Glynco, Georgia, 31520.

Categories of individuals covered by the system: Any person employed by or detailed to the Center.

Categories of records in the system: All payroll records including Standard Forms 50 and 52, leave status, training authorizations and retirement records.

Authority for maintenance of the system: Treasury Order No. 217, dated July 1, 1970.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Compilation of all required accounting, payroll functions and reports. GAO and Treasury audits. Related FLETC accounting and financial procedures. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files.

Retrievability: Name.

Safeguards: Physical Security, personnel screening and security check list are all utilized to prevent unauthorized disclosure of records.

Retention and disposal: Retained indefinitely, except retirement records which are transferred at the departure of the employee.

System manager(s) and address: FLETC, Office of Administration, Administration Building, Glynco, Georgia 31520.

Notification procedure: The individual must provide full name, date of birth, dates of employment with, or date of application of employment to the Center to: FLETC, Office of Administration, Administration Building, Glynco, Georgia 31520.

Record access procedures: By formal letter to the System Manager.

Contesting record procedures: See Access above.

Record source categories: Personnel documents and payroll documents computed by The Bureau of Government Financial Operations.

Treasury/FLETC 00.002

System name: FLETC Trainee Records—Treasury/FLETC.

System location: FLETC, Office of Administration, Administration Building, Glynco, Georgia 31520.

Categories of individuals covered by the system: Any person who officially attends a formal FLETC training program.

Categories of records in the system: Personal background information supplied by the trainee, grades and performance evaluation, student advisory form and relevant public health records.

Authority for maintenance of the system: Treasury Order No. 217 (Revision 1), dated July 1, 1970, and The Memorandum of Understanding for the Sponsorship and Operation of the Consolidated Federal Law Enforcement Training Center, dated September 30, 1970.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Dissemination upon request to the individual himself, the individual's parent agency, to any other agency or organization at the request of the individual and to members of the FLETC staff responsible for the individual's performance evaluation or rating and FLETC staff members on a need-to-know basis. For additional routine uses see Appendix AA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files and 3 x 5 cards.

Retrievability: Name and/or class number.

Safeguards: Physical Security, personnel screening and security check list are all utilized to prevent unauthorized disclosure of records.

Retention and disposal: All records maintained indefinitely.

System manager(s) and address: FLETC, Office of Administration, Administration Building, Glynco, Georgia 31520.

Notification procedure: The individual must provide full name, date of birth, parent agency, type of course and approximate dates of attendance to: FLETC, Office of Administration, Administration Building, Glynco, Georgia 31520.

Record access procedures: By formal letter to the System Manager.

Contesting record procedures: See Access above.

Record source categories: The trainee himself and the members of the training staff responsible for grading, rating or evaluating the trainee.

DEPARTMENT OF THE TREASURY

APPENDIX AA

Additional Routine Uses

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

A record maintained by this agency to carry out its functions may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of license, grant or other benefit, provided that disclosure is compatible with the purpose for which such record was collected.

A record maintained by this agency to carry out its functions may be disclosed as a routine use to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter, provided that disclosure is compatible with the purpose for which such record was collected.

A record maintained by this agency to carry out its functions may be disclosed in response to a court subpoena, to appropriate parties engaged in litigation or in preparation of possible litigation such as potential witnesses for the purpose of securing their testimony when necessary to courts, magistrates or administrative tribunals, to parties and their attorneys for the purpose of proceeding with litigation or settlement of disputes, to individuals seeking information by using established discovery procedures, whether in connection with civil, criminal, or regulatory proceedings.

A record maintained by this agency to carry out its functions which relates to civil and criminal proceedings may be disclosed to the news media in accordance with guidelines contained in 28 C.F.R. 50.2.

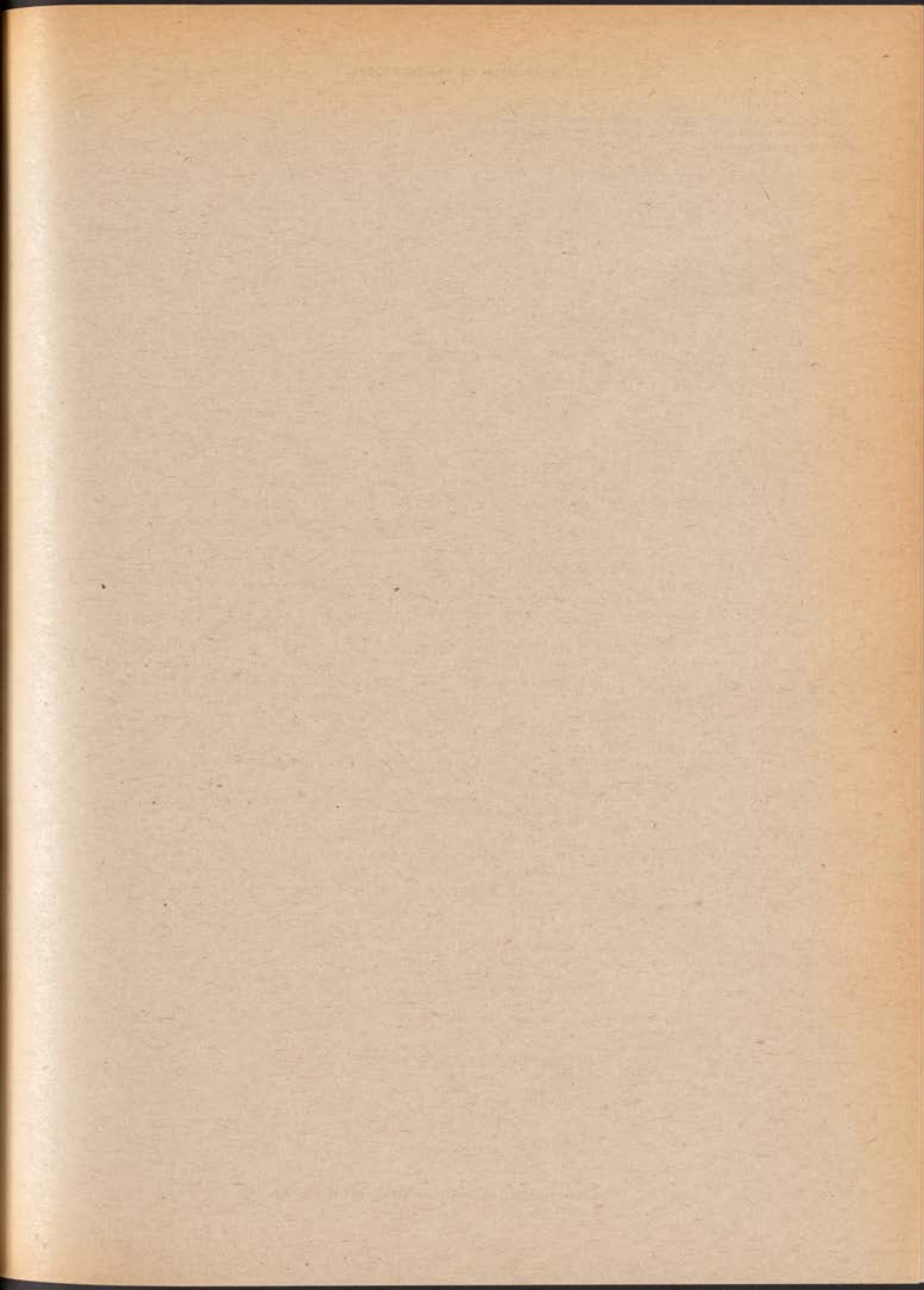
A record maintained by this agency to carry out its functions may be disclosed to foreign governments in accordance with formal or informal international agreements.

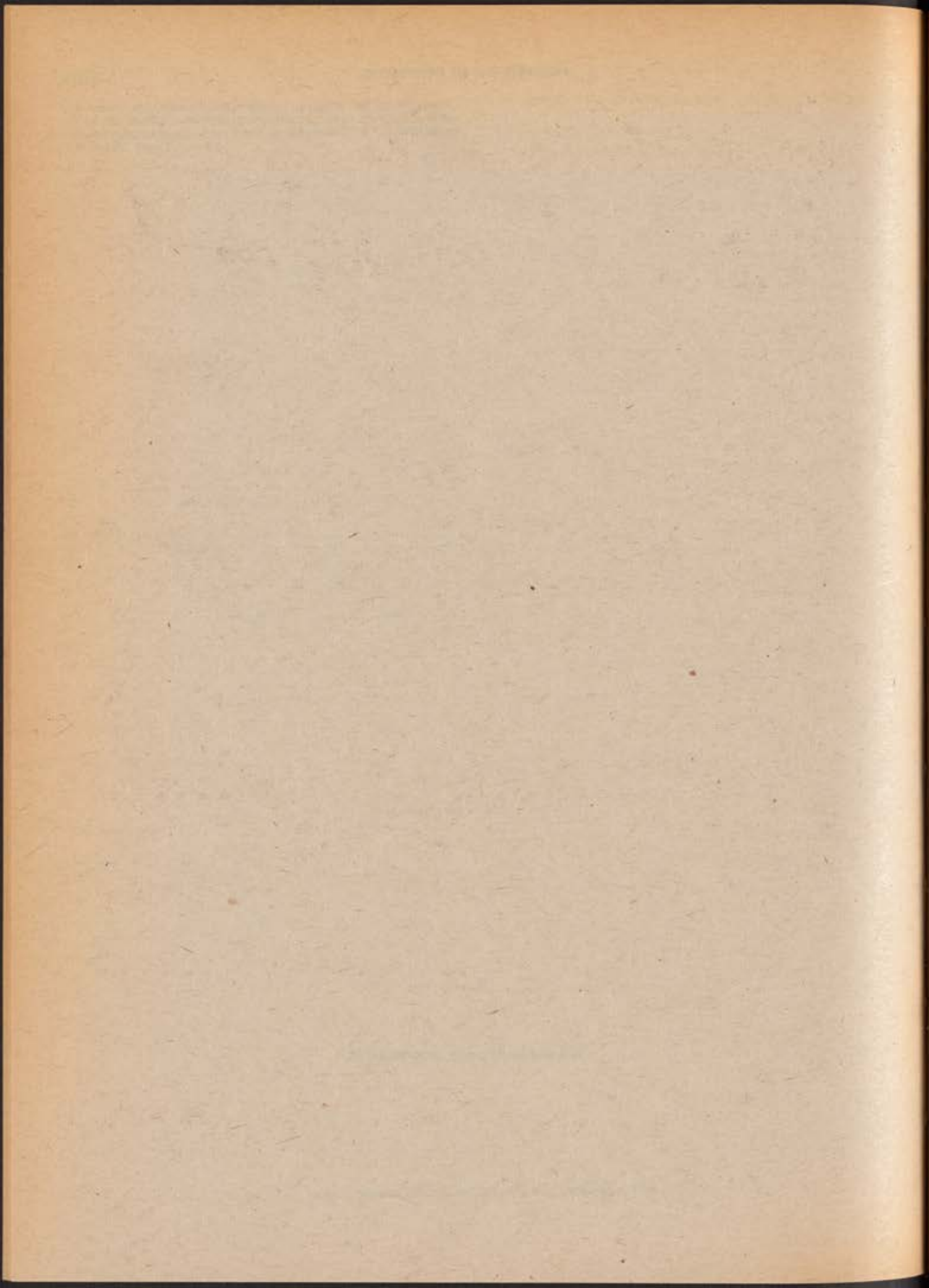
A record maintained by this agency to carry out its functions may be disclosed to unions recognized under E.O. 11491 when required or relevant to union's duties as exclusive representative under E.O. 11491.

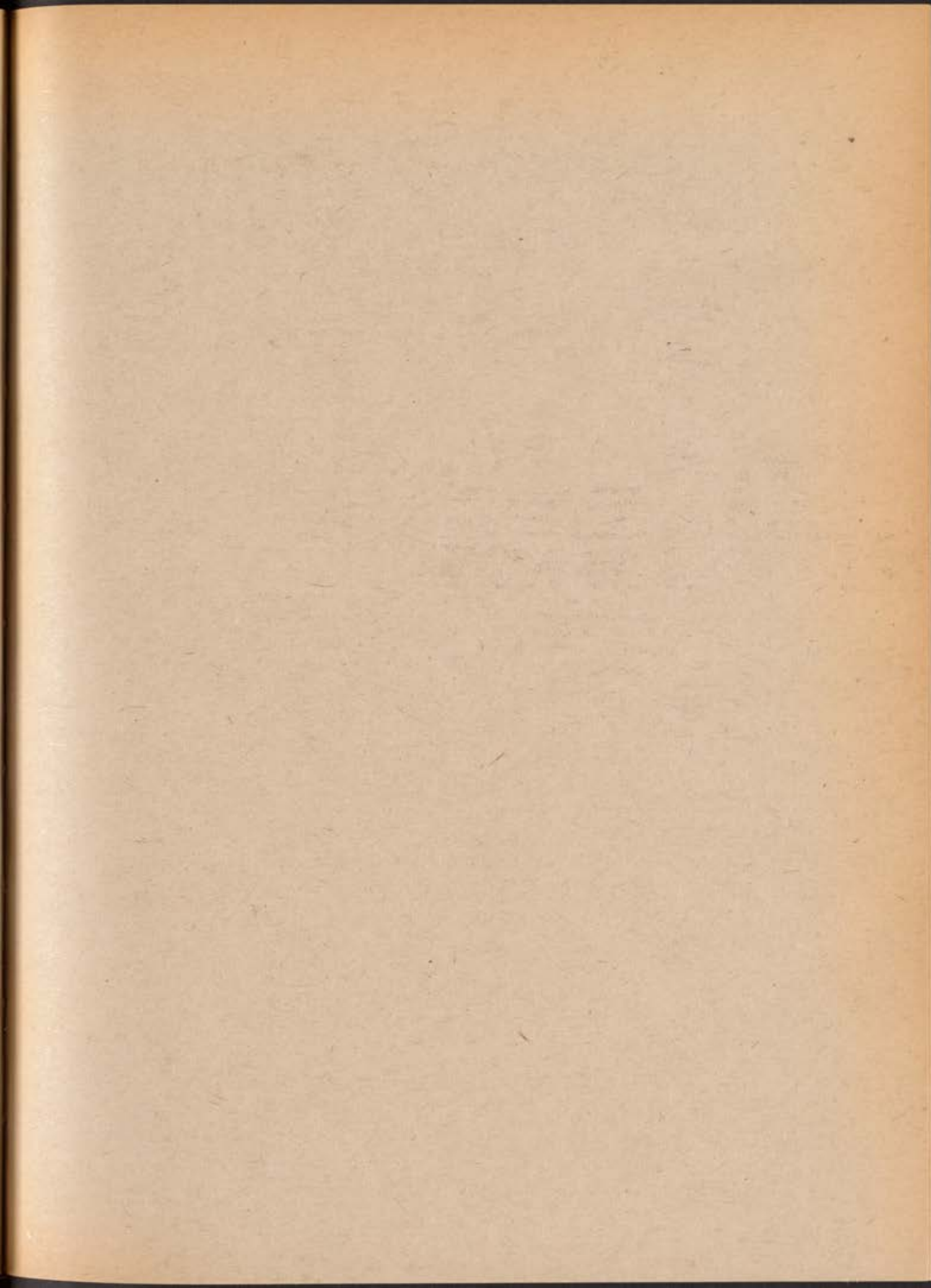
A record maintained by this agency to carry out its functions may be disclosed to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

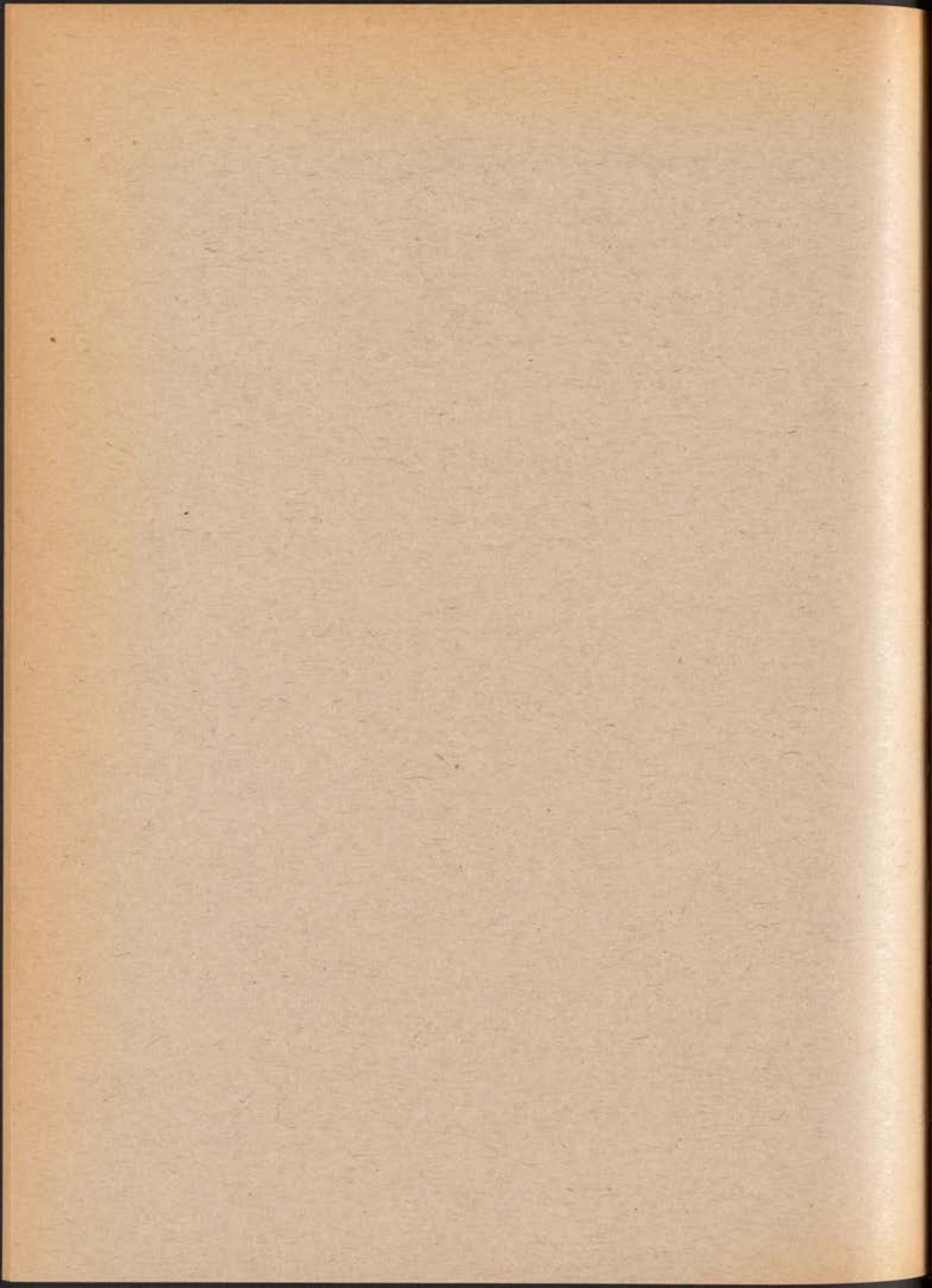
A record maintained by this agency to carry out its functions may be disclosed to a congressional office in response to an inquiry from the congressional office made at the request of the individual to whom the record pertains.

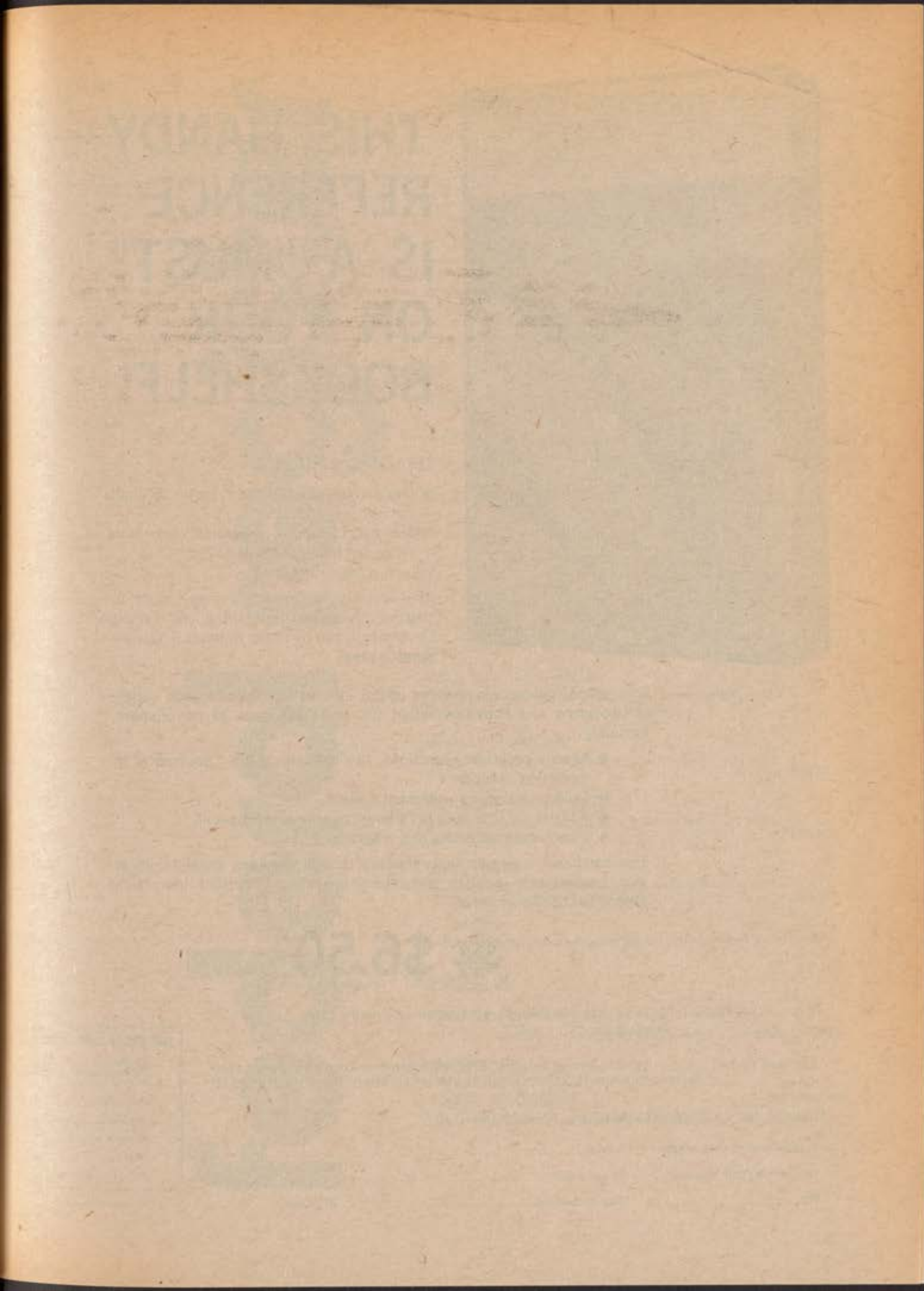
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